



Himachal Pradesh Disaster Risk Reduction and Preparedness Program

Program Operations Manual



Preface

1. Overview

The Program Operations Manual (PoM) is intended to serve as a comprehensive “how-to” guide on the implementation modalities of the Himachal Pradesh Disaster Risk Reduction and Preparedness Program (HPDRRPP), hereinafter referred to as “the Program.” The implementation modalities are based on Agence Française de Développement (AFD)’s standard guidelines, relevant Indian laws and regulations, and operational requirements.

The PoM is designed to support the timely, efficient, and effective delivery of Program activities. The procedures set forth within this Manual are binding for all Program activities, unless they are in conflict with applicable Indian laws and regulations or in exceptional cases ratified by AFD and the Program Steering Committee (PSC). In the event of any inconsistency between this Manual and the provisions of the Credit Facility Agreement (CFA) or the Project Agreement (PA) signed between AFD and, respectively, the Government of India (GoI) and the Government of Himachal Pradesh (GoHP), the provisions of the CFA and PA shall take precedence.

This Manual provides guidance on the following:

- a) **Program Design:** An introduction to the Program and its components, key activities, and financing structure.
- b) **Institutional Arrangements and Operational Procedures:** Lists the key implementation authorities with their responsibilities and outlines operational procedures for Program management.
- c) **Financial Management Procedures:** Describes policies and practices for sound financial management of the Program.
- d) **Procurement Procedures:** Provides a compliant framework for procuring goods, works, consulting and other services for effective execution of the Program.
- e) **Environment and Social Management System:** Describes the framework that determines the extent of environmental and social risk each Program activity poses, and mitigation steps required.
- f) **Grievance Redressal Procedures:** Outlines processes by which individuals or entities affected by the Program can seek redressal on specific concerns- perceived or real - thereby ensuring transparency, accountability, and effective stakeholder engagement.

This PoM is designed as a concise, user-friendly reference document to support operational clarity. Where necessary, references to more detailed documents are included to provide additional guidance.

The PoM is expected to be reviewed and updated annually by the HPDRRPP Program Director, in consultation with the Implementing Agencies (IAs). All revised versions shall be approved by the Program Director, in consultation with AFD, prior to becoming effective. The latest version of the PoM shall be officially communicated to IAs and uploaded to the Program Management System (PMS).

2. Users and Training

This PoM is intended to support all Program stakeholders including Program IAs. To ensure effective and consistent application of the PoM, all users should receive adequate training developed by the Disaster Management Cell(DMC) and the Program Management Unit (PMU).

Trainings should focus on division-level staff who must comply with the guidelines on a day-to-day basis for various Program activities. A participative workshop-style format is recommended to encourage engagement and discussion from all parties.

Trainings should cover the following areas:

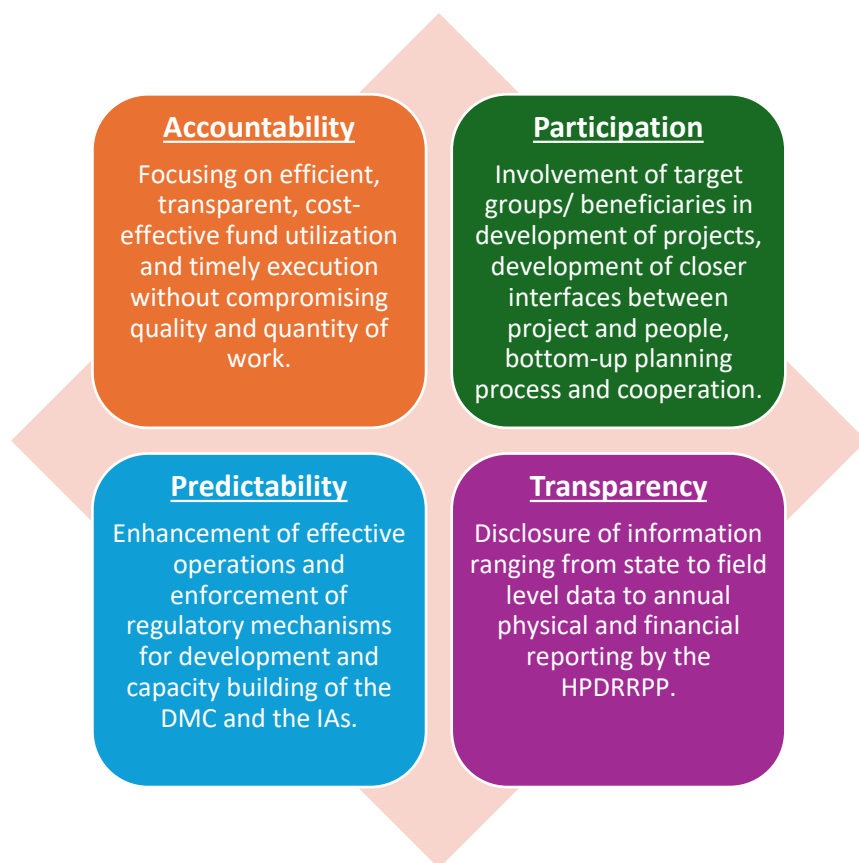
- a) The purpose and scope of the PoM.
- b) The importance of complying with the PoM, including potential consequences of non-compliance.
- c) The specific roles and responsibilities of each user.
- d) “How-to” guidance on meeting the procedural requirements outlined in the PoM.
- e) The provisions for revising the PoM based on learnings from the field, thus inviting engagement and feedback from the users.

The DMC/PMU shall organize these training workshops at least twice in the first year, and as often as required in the subsequent years. The DMC will determine the number, type, and participants of each training session.. The DMC shall also ensure that feedback from all IAs and other is collected and considered during the POM’s annual review process.

3. Principles of Good Governance

Programs such as the HPDRRPP must ensure robust management and governance arrangements. The good governance arrangements serve two core purposes:

- a) To ensure that program implementation aligns with the approved plans and procedures through effective performance monitoring.
- b) To ensure the appropriate use and management of externally aided financial assistance provided by AFD, in conformance with its guidelines.



The Four Pillars of Governance

Effective implementation of the Program requires sound management and financial policies, effective monitoring processes, adequate accounting, recordkeeping, timely and accurate reporting, time-bound comprehensive audits, and sustained improvements in performance monitoring mechanism supported by capacity building.

The procedures outlined in this Manual have been developed with these governance considerations in mind.

Version Control

Version	Date	Remarks
0	03 Feb 2025	Initial version of PoM post signature of CFA and PA
1	09 July 2025	Approved by the Program Steering Committee

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Abbreviations and Acronyms

AAS	Agromet Advisory Services
ACM	Asbestos Containing Material
AFD	Agence Française de Développement
AG	Accountant General
AGISAC	Aryabhata Geo-informatics & Space Application Centre
AML	Anti Money Laundering
APFS	Annual Program Financial Statements
AR5	Fifth Assessment Report
BBMB	Bhakra Beas Management Board
BMP	Biodiversity Management Plan
C&AG	Comptroller and Auditor General
CCAP	City Climate Action Plan
CCVA	Climate Change Vulnerability Assessment
CER	Contingency Early Response
CFA	Credit Facility Agreement
CFT	Countering the Financing of Terrorism
CHMP	Cultural Heritage Management Plan
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CRVA	Climate Risk and Vulnerability Assessment
CWC	Central Water Commission
DDMA	District Disaster Management Authorities
DDO	Drawing & Disbursing Officer
DEA	Department of Economic Affairs
Dept.	Department
DEST&CC	Department of Environment, Science, Technology & Climate Change
DLI	Disbursement Linked Indicator
DMC	Disaster Management Cell
DMP	Disaster Management Plans
DMPMS	Disaster Management Plans Monitoring System
DPIU	Divisional/District Program Implementation Unit
DPR	Detailed Project Report
DRR	Disaster Risk Reduction
DRRP	Disaster Risk Reduction and Preparedness
DSC	District Level Supervision Committee
DSS	Decision Support System
DVA	Detailed Vulnerability Assessment
E&S	Environmental and Social
EA	Executing Agency

EGEP	Ethnic Groups Engagement Plan
EHS	Environmental, Health and Safety
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
EnC	Engineer in Chief
EOC	Emergency Operation Centre
ESCP	Environmental & Social Commitment Plan
ESF	Environmental and Social Framework
ESIA	Environmental and Social Impact Assessment
ESMF	Environment and Social Management Framework
ESMP	Environment & Social Management Plan
ESS	Environmental and Social Standards
ESSA	Environmental and Social Systems Assessment
ETE	End-Term Evaluation
EWS	Early Warning System
ExEn	Executive Engineer
FD	Finance Department
FSA	Fiduciary Systems Assessment
FY	Financial Year
GAP	Gender Action Plan
GFR	General Financial Rules
GHG	Greenhouse Gas
GIS	Geographical Information System
GLOF	Glacial Lake Outburst Flooding
GoHP	Government of Himachal Pradesh
Gol	Government of India
GPDP	Gram Panchayat Development Plans
GRC	Grievance Redress Committee
GRM	Grievance Redress Mechanism
HAZMAT	Hazardous Materials
HCDRR	Himalayan Centre for Disaster Risk Reduction
HIMCOSTE	Himachal Pradesh Council for Science, Technology and Environment
HoA	Head of Account
HoD	Head of Department
HP	Himachal Pradesh
HPDRRPP	Himachal Pradesh Disaster Risk Reduction and Preparedness Program
HPFD	Himachal Pradesh Forest Department
HPFR	Himachal Pradesh Finance Rules
HPPCL	Himachal Pradesh Power Corporation Limited
HPPWD	Himachal Pradesh Public Works Department
HPSDMA	Himachal Pradesh State Disaster Management Authority

HR	Human Resource
IA	Implementing Agency
ICT	Information and Communication Technology
IEC	Information Education and Communication
IEE	Initial Environmental Evaluation
IIT	Indian Institute of Technology
ILO	International Labour Organization
IMD	Indian Meteorological Department
IPP	Indigenous People Plan
IVA	Independent Verification Agency
JSV	Jal Shakti Vibhag
LMP	Labor Management Plan
LoC	Letter of Credit
M&E	Monitoring and Evaluation
MIS	Management Information System
MS HIPA	Dr. Manmohan Singh Himachal Pradesh Institute for Public Administration
MTE	Mid-Term Evaluation
NDMA	National Disaster Management Authority
NIC	National Informatics Centre
NOC	No Objection Certificate
OHS	Occupational Health and Safety
OI	Outcome Indicator
PAP	Program Action Plan
PBS	Program Budget Support
PCR	Project Completion Report
PEC	Program Executive Committee
PEF	Program Expenditure Framework
PFM	Public Financial Management
PIU	Project Implementing Unit
PMDC	Program Management and Design Consultant
PMS	Program Monitoring System
PMU	Program Management Unit
PoM	Program Operations Manual
PPE	Personal Protective Equipment
PSC	Program Steering Committee
PWD	Public Works Department
QPR	Quarterly Progress Report
RAP	Resettlement Action Plan
RBF	Results Based Financing
RP	Resettlement Plan
RVS	Rapid Visual Survey

SAPCC	State Action Plan on Climate Change
SBD	Standard Bidding Documents
SDG	Sustainable Development Goal
SDMP	State Disaster Management Plan
SDNO	State Departmental Nodal Officer
SDRF	State Disaster Response Force
SEA/SH	Sexual Exploitation and Abuse/Sexual Harassment
SEMP	Site-Specific Environmental Management Plans
SEP	Stakeholder Engagement Plan
TDU	Technology Demonstration Unit
UC	Utilization Certificate
VAC	Violence Against Children
WB	World Bank

1 Introduction

1.1 Context

The State of Himachal Pradesh (HP) is highly exposed to a range of natural hazards, including unseasonal rain and snowfall, droughts, floods, landslides, and glacial lake outburst floods (GLOFs). The frequency and severity of these events have increased in recent years, posing significant risks to lives, livelihoods, and critical infrastructure. A substantial portion of the State lies within Seismic Zones IV and V, which represent areas of high to very high seismic risk.

Exhibit 1: District-wise Key Hazard Map of Himachal Pradesh illustrates the spatial distribution of key hazards across districts.

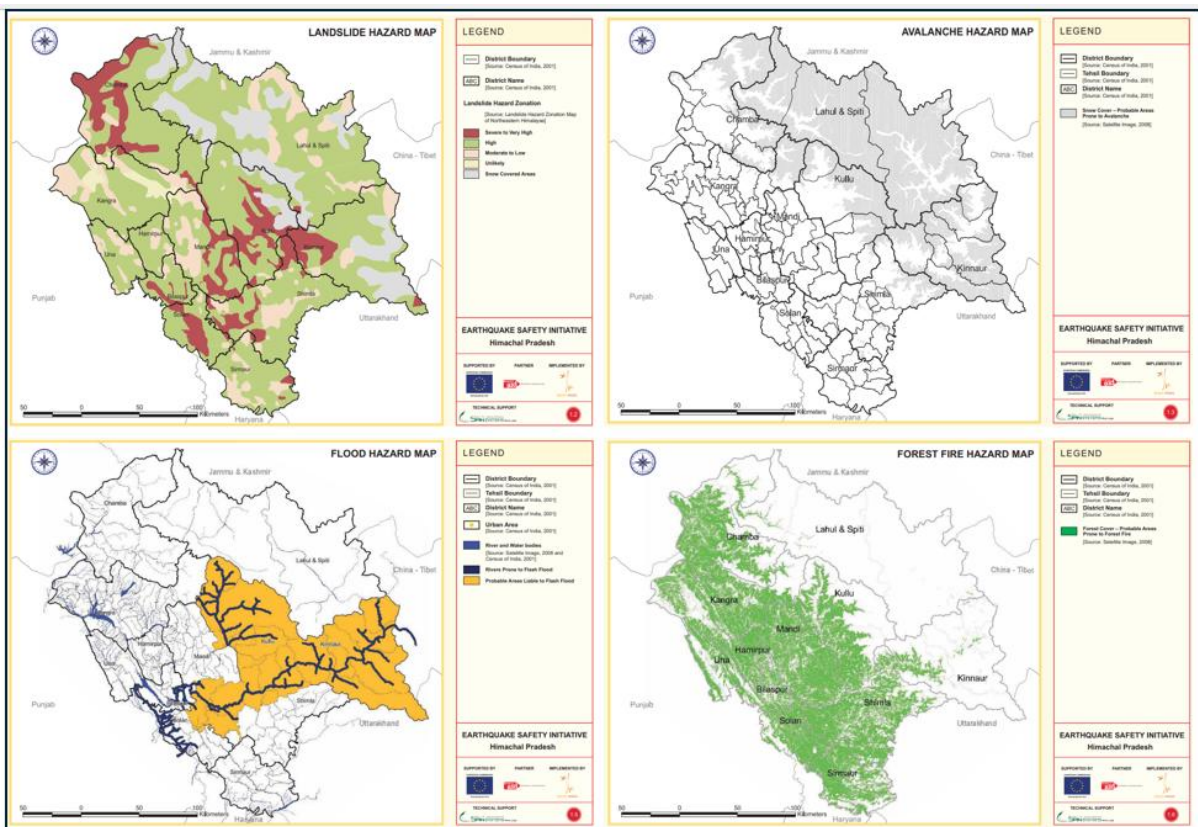


Exhibit 1: District-wise Key Hazard Map of Himachal Pradesh

The Government of Himachal Pradesh (GoHP) faces specific challenges in enhancing its resilience to disasters. These include:

- (i) lack of adequate infrastructure for disaster preparedness and response;
- (ii) limited response capacity;

- (iii) institutional capacity constraints within the Himachal Pradesh State Disaster Management Authority (HPSDMA) and the District Disaster Management Authorities (DDMAs); and
- (iv) limited budgetary resources to finance disaster risk management, including specifically disaster preparedness and response.

Disasters disproportionately affect the poorest and most vulnerable groups including women, children, the elderly, persons with disabilities, and ethnic and racial minorities. Addressing these equity dimensions is critical to building inclusive resilience.

To address these challenges, GoHP is implementing the HPDRRP Program, with financial and technical support from the Agence Française de Développement (AFD). The Program adopts a multi-sectoral approach with the objective of reducing disaster risk and strengthening the resilience of institutions, systems, and communities across the State.

1.2 About the Program

The HPDRRP has financial outlay of EUR 100 million (INR 890 crores). The Program's primary goal is to strengthen disaster and climate resilience among state systems and local communities in Himachal Pradesh. The Program's overarching objective is to transition towards a comprehensive disaster and climate risk reduction framework through the implementation of resilient infrastructure and strengthened disaster risk management and governance.

The Program's duration is five years, from April 2025 to March 2030. AFD will provide technical and financial support through its Program Budget Support (PBS) instrument. The PBS also includes a results-based financing (RBF) track, accounting for up to 15 percent of the Program outlay. The Program also incorporates a Contingency Early Response (CER) Component, with up to 10 percent of the total Program outlay, earmarked for addressing unforeseen emergency expenditure resulting from disasters. A dedicated portion of the Program budget is allocated to cover Program management expenses. *Table 1: Key Program Facts* summarizes the essential features of the Program.

Table 1: Key Program Facts

Program Name	Himachal Pradesh Disaster Risk Reduction and Preparedness Program (HPDRRP)
Program ID	CIN 1149
Program Goal	Increased disaster and climate resilience among State systems and local communities in Himachal Pradesh.
Program Objective	Transition toward holistic disaster and climate risk reduction framework through resilient infrastructure and improved governance.
Program Tenure	5 years

Commencement	April 2025					
Completion	March 2030					
Program Outlay	Euro (EUR) 100 million Indian Rupee (INR) 890crores					
Funding Pattern	AFD – EUR 81.9 million (81.9%), GoHP – EUR 18.1 million (18.1%)					
Annual Projections (EUR million)¹	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Program Expenditure	11.87	36.58	25.44	16.57	9.75	100.00
Disbursement	9.65	29.41	20.58	13.82	8.46	81.90
Financing Instrument	Program Budget Support (PBS)					
Disbursement Tracks and percentage of AFD funding	<ul style="list-style-type: none"> Reimbursement Track – 81.7% Results-based Financing Track – 18.3% 					
Strategic Alignment with	(i) State Policy on Disaster Management, 2011 and the State Disaster Management Plan, 2017 (updated 2020) (ii) State Action Plan on Climate Change – 2021-2030 (iii) Sendai Framework for Disaster Risk Reduction 2015-2030					
Program Components	<p>Component 1: Enhancing disaster risk governance, through improved institutional capacities, risk understanding and knowledge management.</p> <p>Component 2: Strengthening disaster preparedness, through effective early warning systems and better emergency response capacities.</p> <p>Component 3: Supporting mitigation measures, including eco-DRR and nature-based solutions.</p>					
Cross-cutting Themes	Institutional strengthening, capacity building, climate, gender					
Program Expenditure Boundary	<ul style="list-style-type: none"> 20 Projects across the three Program Components Contingency Early Response of up to 10% of Program outlay Program Management 					
Nodal Agency	Himachal Pradesh State Disaster Management Authority (HPSDMA) operating through the Disaster Management Cell (DMC) at Department of Revenue and 12 District Disaster Management Authorities (DDMA)					
Implementing Agencies	<p>Government Departments (9): Civil Defence and Home Guards Department, Department of Environment, Science, Technology & Climate Change (DEST&CC), Department of Horticulture, Department of Tourism and Civil Aviation, Fire Services Department, Himachal Pradesh Forest Department (HPFD), Himachal Pradesh Public Works Department (HPPWD), Jal Shakti Vibhag (JSV), Police (State Disaster Response Force - SDRF)</p>					

1.3 Program Budget Support

Program Budget Support (PBS) has been identified as the most suitable financing mechanism for AFD’s engagement, given its flexibility in aligning the Program design to GoHP’s strategic priorities and adapting the Program implementation to evolving needs. This modality promotes greater ownership among Program stakeholders since it does not bind them to a rigid set of interventions or an inflexible implementation strategy. Furthermore, PBS enables GoHP to harmonize the Program with other relevant Centre-funded and State-funded Programs with similar objectives. Under the PBS modality, GoHP will incur Program

¹Amounts are rounded to the nearest second decimal place

expenditure through the State budget, facilitating seamless integration into its regular budgetary and fiscal management processes.

The RBF track ties AFD's disbursements under the Program to the achievement of specific pre-agreed results, referred to as disbursement-linked indicators (DLIs), rather than to the underlying expenditure. This encourages GoHP to implement cost effective, high-impact policy and institutional reforms that contribute directly to the Program's overarching Goal and Objective.

1.4 Objective and Use of this Manual

This Program Operations Manual (PoM) is meant to guide the nodal agency –HPSDMA, operating through the Disaster Management Cell (DMC), and DDMA's, Implementing Agencies (IAs) –namely departments of the GoHP and other institutions, and other relevant stakeholders towards effective Program implementation. It describes the Program structure, implementation, procurement and financial management arrangements, reporting, monitoring and evaluation, and environment and social management aspects.

All Program IAs shall follow this Manual from the date notified. Changes, if any, to the contents of this Manual during the Program period shall be subject to prior consultation and agreement with AFD and become effective once approved by the Program Steering Committee (PSC).

2 Program Description

2.1 Program Results Framework

2.1.1 Goal

The Program aims to **“Increase disaster and climate resilience among State systems and local communities in Himachal Pradesh.”**

2.1.2 Program Objective

The Program Objective is **“to transition to a holistic disaster and climate risk reduction framework through resilient infrastructure and improved governance.** “This objective will be achieved through a multi-pronged approach comprising of:

- a) strengthening the policy framework around disaster management, enhancing institutional capacities and better knowledge management;
- b) improving disaster preparedness across the State by implementing early warning systems and building disaster response capacities; and
- c) mitigation and rehabilitation measures integrating nature-based solutions.

The strategy includes integrating climate and gender aspects into the Program and institutionalizing the changes to ensure long-term sustainability of disaster risk management in the State.

2.1.3 Outcomes and Outcome Indicators

The Program Objective is expected to be achieved through the following outcomes.

- a) Sustained institutional capacity building in the State Emergency Operation Centre (EOC), District EOCs, Himachal Pradesh State Disaster Management Authority, District Disaster Management Authorities, and the Himalayan Centre for Disaster Risk Reduction (HCDRR).
- b) Updated State and District Disaster Management Plans (DMP) by end of Program period.
- c) Improved responsiveness of public financial management (PFM) systems of the State to disaster management needs.
- d) Improved state of disaster preparedness.
- e) Reduced damage from landslides and earthquakes.

The following eight Outcome Indicators (OI) will be used to assess achievement of the Program outcomes:

- a) OI1: State has created budget provision for continued operation of State and District EOCs, HPSDMA, DDMA and HCDRR (in last two Financial Years (FY) of the Program).
- b) OI2: State Disaster Management Plan is updated and approved.
- c) OI3: Emergency Procurement Guidelines are notified.

- d) OI4: 5-year moving average of annual losses due to landslides, flash floods, and road accidents combined shows a declining trend over the Program period.
- e) OI5: State has established or has prepared a blueprint and allotted budget for at least two more State Disaster Response Force (SDRF) campuses (in addition to Kangra).
- f) OI6: Average time to reach unserved locations has decreased by 75 percent.
- g) OI7: 1 percent of the State's population is trained as volunteers for disaster response.
- h) OI8: No instances of further landslide in at least 5 of the 11 mitigated sites in the last two years of the Program.

2.1.4 Program Results Chain

Disaster management systems in the State of HP have traditionally remained weak. The State recognizes that addressing these weaknesses and transitioning to a holistic disaster risk reduction (DRR) framework requires transformation on multiple fronts. GoHP also recognizes that it is important to integrate climate and gender aspects, and ensure institutionalization of the changes in the long-term. The Program Results Chain addresses these concerns by envisaging interventions across the disaster management cycle and additionally through strengthening the policy and institutional framework around disaster governance. Accordingly, the Program will focus on the following Result Areas/Components:

- a) **Result Area 1:** Enhancing disaster risk governance, through improved institutional capacities, risk understanding and knowledge management.
- b) **Result Area 2:** Strengthening disaster preparedness, through effective early warning systems and better emergency response capacities.
- c) **Result Area 3:** Supporting mitigation measures, including eco-DRR and nature-based solutions.

Chain shows the linkages between Program activities, intermediate results and the end-outcomes, including the Intermediate Results and Outcome Indicators.

2.2 Program Activities

2.2.1 Overview

Program activities are aligned to the strategic direction established by the overall policy priorities of GoHP related to disaster management. The Program activities include 15 investment Projects under three Components covering infrastructure investments and institutional development actions, and five policy actions under the RBF track. Activities covers the activities proposed under the Program.²

² The term Project has been used to refer to investment projects and Activity has been used to refer to the interventions under the RBF Track respectively throughout this document.

Table 2: List of Projects/Activities

Program Components and Projects/Activities		Estimated Cost ³		Implementing Agency*	Alignment with SDMP (relevant Section)
		EUR Mn	INR Cr		
Component 1: Enhancing disaster risk governance, through institutional capacities, risk understanding and knowledge management/dissemination					
1.1	Strengthening of HPSDMA & DDMA, State Emergency Operation Centre (EOC) and District EOCs	6.96	61.94	DMC	5.3 & 5.5
1.2	Climate Change Vulnerability Assessment (CCVA) at Village level	1.50	13.35	DEST&CC	2
1.3	Strengthening of knowledge products related to climate change and dissemination	0.95	8.46	DEST&CC	2.11
1.4	Establishing the Himalayan Centre for Disaster Risk Reduction (HCDRR)	3.25	28.93	DMC	5.3
1.5	Mainstreaming Climate Change and Disaster Risk Resilience in HP	4.00	35.60	DMC	-
1.6	Improvements to DRR Framework in the State	2.50	22.25	DMC	-
1.7	Mainstreaming Gender in Disaster Risk Resilience in HP	2.00	17.80	DMC	-
1.8	Disaster responsive PFM systems	2.50	22.25	DMC	-
1.9	IT solutions for effective disaster mitigation and response	4.00	35.60	DMC	-
Estimated Cost for Component 1		27.66	246.17		
Component 2: Strengthening disaster preparedness, through effective early warning systems and better emergency response capacities					
2.1	Developing Early Warning System (EWS) for landslide, flash floods, cloudbursts, glacial lake outburst floods (GLOF) and dam safety, Improving networks for flood forecasting and Geographical Information System (GIS)-based Decision Support System (DSS)	13.50	120.15	<i>Nodal Agency</i> – JSV <i>Other IAs</i> – Dept. of Energy, AGiSAC, HIMCOSTE, HPPCL, HPPWD, BBMB, CWC	4.6 & 5.4
2.2	Developing climate/weather related forecast for agriculture and horticulture	4.60	40.94	<i>Nodal Agency</i> – Dept. of Horticulture <i>Other IAs</i> – Dept. of Agriculture and Farmers Welfare, AGiSAC	5.4

³Amounts are rounded to the nearest two decimal places

Program Components and Projects/Activities		Estimated Cost ³		Implementing Agency*	Alignment with SDMP (relevant Section)
		EUR Mn	INR Cr		
2.3	Enhancing implementation of forest fire mitigation measures	4.85	43.17	HPFD	5.4
2.4	Establishment of Fire and Emergency Response cum Training Centres in unserved locations in the state	6.50	57.85	Fire Services Department	5.5 & 3.10
2.5	Establishing a State Disaster Response Force (SDRF) campus	12.59	112.05	Police - SDRF	6.3
2.6	Establishment of helipads for emergency response	2.50	22.25	Dept. of Tourism and Civil Aviation and HPPWD	5.13
2.7	Strengthening of existing Training Centres	1.14	10.15	Civil Defence and Home Guards Dept.	5.9
Estimated Cost for Component 2		45.68	406.55		
Component 3: Supporting mitigation measures, including eco-DRR and nature-based solutions					
3.1	Mitigation and Slope Stabilization of Vulnerable Landslide Sites	8.70	77.43	HPPWD	3.7
3.2	Area-specific Bioengineering Nurseries and Interventions	3.38	30.08	HPFD	3.7
3.3	Creating Climate Change & earthquake resistant Technology Demonstration Units (TDUs) at existing engineering institutes	4.70	41.79	DMC	3.5, 3.6, 3.8 & 3.10
3.4	Implementing Hazard resistant critical infrastructure	4.54	40.40	DMC	3.5
Estimated Cost for Component 3		21.31	189.69		
Program Management		5.35	47.62		
Grand Total		100.00	890.0		

2.2.2 Program Stakeholders

IAs under the Program are a mix of GoHP departments, State Government institutions, and Central Government institutions. Several Projects require coordination among multiple departments/institutions – in such cases, one department/institution is designated as a nodal Implementing Agency (IA) for that Project. Projects shows the mapping of Projects/Activities under the Program to individual nodal IAs.

Table 3: Nodal Implementing Agencies and Projects

Nodal Implementing Agency ⁴	Nodal Officer	Projects
Civil Defence and Home Guards Department	Deputy Commandant General	2.7. Strengthening of existing Training Centres

⁴ Presented in alphabetical order.

Nodal Implementing Agency ⁴	Nodal Officer	Projects
Department of Environment, Science, Technology & Climate Change (DEST&CC)	Chief Scientific Officer	1.2. Climate Change Vulnerability Assessment (CCVA) at Village level 1.3. Strengthening of knowledge products related to climate change and dissemination
Department of Horticulture	Director	2.2. Developing climate/weather related forecast for agriculture and horticulture
Department of Tourism and Civil Aviation	Additional Director (Tourism)	2.6. Establishment of helipads for emergency response
Fire Services Department	Chief Fire Officer	2.4. Establishment of Fire and Emergency Response cum Training Centres in unserved locations in the state
Himachal Pradesh Forest Department (HPFD)	Conservator of Forests	2.3. Enhancing implementation of forest fire mitigation measures 3.2. Area-specific Bioengineering Nurseries and Interventions
Himachal Pradesh Public Works Department (HPPWD)	Superintendent Engineer (Works)	3.1. Mitigation and Slope Stabilization of Vulnerable Landslide Sites
Himachal Pradesh State Disaster Management Authority (HPSDMA) through the Disaster Management Cell (DMC) of Dept of Revenue & District Disaster Management Authorities (DDMAs)	Program Director	<p>Projects:</p> <p>1.1. Strengthening of HPSDMA & DDMA's, State Emergency Operation Centre (EOC) and District EOCs 1.4. Establishing HCRR 3.3. Creating Climate Change & earthquake resistant Technology Demonstration Units (TDUs) at existing engineering institutes 3.4. Implementing Hazard resistant critical infrastructure</p> <p>Activities under RBF Sub-component</p> <p>1.5 Mainstreaming Climate Change and Disaster Risk Resilience in the State 1.6. Improvements to Disaster Risk Reduction (DRR) Framework in the State 1.7. Mainstreaming Gender in Disaster Management 1.8. Improving disaster-responsiveness of the State's Public Finance Management (PFM) systems 1.9. Implementing technology solutions for effective disaster mitigation and response</p>
Jal Shakti Vibhag (JSV)	Executive Engineer (Hydrology)	2.1. Developing Early Warning System (EWS) for landslide, flash floods, cloudbursts, glacial lake outburst floods (GLOF) and dam safety, Improving networks for flood forecasting and Geographical Information System (GIS)-based Decision Support System (DSS)
Police (State Disaster Response Force-SDRF)	Superintendent of Police - SDRF	2.5. Establishing a State Disaster Response Force (SDRF) campus

2.2.3 Details of Projects under Component 1: Enhancing disaster risk governance, through institutional capacities, risk understanding and knowledge management/dissemination

Project 1.1: Strengthening of HPSDMA & DDMA, State Emergency Operation Centre and District EOCs

Implementing Agency: DMC with construction of building supervised by HPPWD

This Project focuses on strengthening the state disaster management infrastructure. Under this Project, construction of one building for HPSDMA which will also house the State EOC and GIS lab, and six buildings housing six DDMA and district EOCs will be undertaken. These buildings will include simulation model for major hazards.

Timeline: In Year 1, Detailed Project Reports (DPR) will be prepared, and construction of HPSDMA & DDMA, State EOC and District EOCs shall commence from the second year. The GIS Lab design will begin in Year 1 (during release of the EWS framework) and will be completed in Year 2.

While establishing HPSDMA and DDMA buildings, it will be ensured that the sites are not hazard prone. A policy of zero displacement and minimum temporary income loss of local people will be followed. Facilities will be designed to ensure gender-sensitivity and accessibility to people with special needs. Buildings will be energy-efficient and designed in accordance with Griha V2019 minimum 4STAR ratings. Site-specific construction Environment & Social Management Plan (ESMP), including waste and traffic management plan, will be prepared in line with the Program Environment and Social Management Framework (ESMF).

National and International level exposure visits for experts and training programmes for HPSDMA and DDMA personnel will also be organized under this Project. The trainings and exposure visits will be identified based on the needs expressed by HPSDMA and the IAs, and approved by the PSC. AFD support shall be sought in the identification of relevant programmes/countries to visit. HPSDMA will support the participants of International exposure visits with the necessary official validations for their trip abroad.

Project 1.2: Climate Change Vulnerability Assessment (CCVA) at Village level

Implementing Agency: DEST&CC

This Project concentrates on CCVA at village-level for Beas and Sutlej River basins covering hydro-meteorological hazards. The CCVA for Beas and Sutlej is required to be updated to the Fifth Assessment Report (AR5)⁵ in line with the emerging developments in climate science.

⁵ Assessment Reports of the Intergovernmental Panel on Climate Change of the United Nations

Timeline: The Assessment will begin in the first year of the Program and will complete in three years.

It will incorporate social and gender aspects along with anticipated environmental impacts. The following activities are included under the Project:

- a) Field visits, primary & secondary data collections.
- b) Hydrological & Climate Change Modelling.
- c) Assessment of climate change hazard scenarios (short-term, medium-term, and long-term) for the region based upon historical information on all major hazard events over the past with focus on Agriculture/Horticulture/Forests and Water sectors.
- d) CCVA as per AR5 Report.
- e) Mapping, documentation, report preparation including recommendations on possible mitigation measures to the climate change vulnerabilities, development of CCVA information portal, publications and dissemination workshop.

Information, education and communication (IEC) materials shall be distributed during various workshops and meetings to facilitate knowledge sharing with the community. This approach will ensure that HPSDMA's outreach extends to a large number of villages. Gender inclusion and community engagement will be integral to the Assessments.

Project 1.3: Strengthening of knowledge products related to climate change and dissemination

Implementing Agency: DEST&CC

This Project shall develop extensive IEC and awareness material in local vernacular languages. Presently, there are gaps in terms of availability and coverage of knowledge products. This has led to limited production of IEC and awareness material and dissemination within the State. As part of this Project, audio-video modules will be developed for wide distribution.

Training and capacity building on climate change resilience will be emphasized along with Information and Communication Technology (ICT) initiatives. Knowledge products would be prepared for people with special needs. Specific material for kids/schools and larger/village public will also be produced based on the scientific material produced by DEST&CC. Development of knowledge material highlighting roles and involvement of gender in climate change adaptation and dissemination of these through community engagement will be a critical aspect of this Project. The Climate Change Advisory Centre established under DEST&CC will prepare the knowledge products and supervise their distribution. The Centre in the DEST&CC building at Shimla will be equipped with additional material for larger public use on disaster risk management. A new climate change and disaster advisory centre using the existing material (videos, 3D models etc) will be established in another relevant location.

Timeline: The Project will be initiated in the first year and will take three years to complete. In the first year, there will be hiring of expert agencies & manpower for developing extensive IEC & awareness material in local vernacular languages. Scientific weather monitoring station with data generation will be set up in the first year along with state level platform on DRR and Climate Change Adaptation to overall implementation of Sustainable Development Goals (SDG) 13. In the second year, there will be conceptualization and establishment of knowledge network hub along with digital IEC and awareness material production in predominant local language. In the third to fifth year, there will be development of audio video modules for differently abled persons, development of web portal, training programmes, conferences, activation & operationalization of knowledge network on climate change and disaster risk reduction.

Project 1.4: Establishing Himalayan Centre for Disaster Risk Reduction (HCDRR)

Nodal Implementing Agency: DMC with construction of building supervised by HPPWD

This Project will focus on establishing an institute for disaster management called the Himalayan Centre for Disaster Risk Reduction. The HCDRR will be established in the Dr. Manmohan Singh Himachal Pradesh Institute of Public Administration (MS HIPA) as an institute for training, research, and design facilities or any other suitable area. It will focus on enriching capacities of officials and other functionaries of the state and district administration, autonomous institutions, and non-governmental organizations in specific areas of prevention, mitigation, preparedness, relief, recovery, rehabilitation, reconstruction, and sustainable development.

Timeline: In the first year, DPRs for the construction of various blocks under HCDRR will be prepared. The construction work shall commence at the end of the first year and be completed by the fourth year.

While establishing the HCDRR, it will be ensured that the site is not hazard prone. A policy of zero displacement and minimum temporary income loss of local people will be followed. The building design would ensure access to people with special needs. During the development and operation phases, a gender action plan will be implemented. Buildings will be energy efficient and designed in accordance with Griha V2019 minimum 4STAR ratings. Project-specific construction phase ESMPs, including plans for managing waste and traffic, in accordance with the Program ESMF will be implemented.

2.2.4 Details of Projects under Component 2: Strengthening disaster preparedness, through effective early warning systems and better emergency response capacities

Project 2.1: Developing Early Warning System (EWS) for landslide, flash floods, cloudbursts, glacial lake outburst floods (GLOF) and dam safety, Improving networks for flood forecasting and Geographical Information System (GIS)-based Decision Support System (DSS)

Nodal Implementing Agency: Jal Shakti Vibhag (other IAs – Dept. of Energy, AGISAC, HIMCOSTE, HPPCL, HPPWD, BBMB)

This Project shall develop EWS for various types of natural disasters endured by the State as well as improve the networks for flood forecasting system. A GIS-based DSS will leverage these EWS and forecasts to deliver timely and effective disaster response plans. Project activities include micro-level multi-hazard data collection and integrating the data with EWSs and developing a GIS-based effective DSS for these hazards. A tentative number of 10 GLOF sensors at water level/bottom level and 30 flood sensors shall be installed (the exact numbers will be reviewed post detailed feasibility studies). There will be training and exposure visits for HPSDMA and IA personnel. In parallel, an EWS Framework for the whole State will be drafted under the lead of DMC and JSV, considering the equipment and systems implemented by all the State departments and central institutions (namely the Central Water Commission (CWC) and the Indian Meteorological Department (IMD)).

Climate change-induced hazards will also be incorporated into the EWS. A participatory approach will be adopted during implementation, involving local community in the process, and imbuing a sense of ownership of these systems. Environmental and Social (E&S) aspects will be scrutinized in the installation of these systems.

A comprehensive feasibility study shall be conducted to identify optimal locations for the Early Warning equipment, in coordination with all the other state and central departments. The selection of technology shall be informed by prior successful implementations in India or internationally and may include a pilot phase for testing and validation of equipment functionality. Additionally, a detailed plan for the utilization of data generated by the EWS shall be established prior to the procurement and installation of the equipment to ensure its effective integration into disaster management protocols. The data produced by the equipment financed by the project shall be available to all the departments and institutions involved in weather forecasting or disaster warning system.

Timeline: The EWS framework will be developed in Year 1 with site suitability analysis considering the existing network, gap analysis, and coverage. The equipment will be installed progressively over the remaining four years of the Program.

Project 2.2: Developing climate/weather related forecast for agriculture and horticulture

Nodal Implementing Agency: Department of Horticulture(Other IAs – Department of Agriculture and Farmers Welfare, AGiSAC)

This Project shall expand the network of weather stations, real-time observatories, and digitization of administrative boundaries as well as implementation of polygon-based warning system for farmers. It intends to improve the weather forecast based Agromet advisory provided to farmers by establishing automatic weather stations including rain gauges up to block level so that the Agromet Advisory Services (AAS) are more crop and location specific. The needs of the farming community will be ascertained based on the information requirements of diverse groups of end-users. The Project will be a step towards development of weather information-based crop/livestock management strategies and operations dedicated to enhancing crop production and food security. The local community will be involved in dissemination of these forecasts at the household level.

Timeline: The Project will be initiated in the first year with hiring of consultant for preparation of the DPR for strengthening of the weather forecast system and natural calamity mitigation measures in horticulture and agriculture sector. The civil construction work will be started from the second year. Development of GIS Layers, supply and installation/procurement of equipment will be initiated from the first year and continued for four more years in phases. There will also be the upgradation of existing management information system (MIS) for the Department of Horticulture linking with All Weather Station and polygon based advisory services starting from the first year till the fifth year.

Project 2.3: Enhancing implementation of forest fire mitigation measures

Implementing Agency:HPFD

The activities under this Project include maintenance of fire-lines, establishing forest fire crew/rapid response team stations, procurement and deployment of tools and equipment, training, exposure visits for HPSDMA and IA personnel, awareness creation, establishment of wireless communication network, improvement of moisture regime in highly vulnerable forests, spring shed development, clearing of fire strip along roadside, and community incentives. A participatory approach will be taken during implementation involving the local communities, especially women, in the process.

Timeline: The Project will be initiated in the first year. Maintenance and creation of fire-lines, forest fire crew / rapid Response team emoluments, procurement & deployment of tools and equipment, establishment of wireless communication network / drones/ sensors/ GIS tools etc, improvement of moisture regime in highly vulnerable forests, spring shed development, clearing of fire strip along roadsides, restoration of fire affected forest/ frass

land ecosystem with fire resistant indigenous species/conversion of invaded chir pine patches to oak forests and community incentives / confidence building measures are the activities envisaged in all the five years.

Project 2.4: Establishment of Fire and Emergency Response cum Training Centres in unserved locations in the state

Implementing Agency: Fire Services Department with construction of buildings supervised by the HPPWD

This Project shall aim to protect life and property from fire and other calamities at five unserved locations within the state. Project activities include construction of five new fire station-cum-demonstration centres along with purchase of firefighting/ hazardous material (HAZMAT) emergency vehicles with equipment for three existing fire stations. The new buildings' location will be selected in accordance with project exclusion criteria specified in the Program ESMF. These buildings will be energy-efficient and designed in accordance with Griha V2019 minimum 4STAR ratings. Project-specific construction phase ESMPs, including plans for managing waste and traffic, will be implemented in accordance with the Program ESMF.

Timeline: Identification of locations and the DPRs will be done in Year 1. Construction will be done between Year 2 and 4.

Project 2.5: Establishing a State Disaster Response Force (SDRF) Campus

Implementing Agency: Police - SDRF

The activities under this Project include construction of a campus for SDRF along with procurement of necessary equipment at the identified location in Kangra. The campus and buildings design would ensure access to people with special needs. During the development and operation phases, a gender action plan will be implemented. Buildings will be designed with Griha V2019 4STAR certification for energy efficiency. Project-specific ESMPs, including traffic and waste management strategies, will be put into practice in accordance with the Program ESMF.

Timeline: DPR of the first campus will be done in Year 1 and construction will begin in Year 2.

Project 2.6: Establishment of helipads for emergency response

Nodal Implementing Agency: Department of Tourism and Civil Aviation (Other IA: HPPWD)

The objective of this Project is to facilitate efficient and effective emergency response, ensuring timely assistance and support to those affected by disaster. The construction of five to seven helipads or heliports (tentative number, to be confirmed post feasibility phase) in disaster-prone areas would enable emergency medical evacuation, search and rescue operations, deployment of emergency personnel and supplies, situational assessment and aerial surveys, coordination and logistics, rapid damage assessment, and reconnaissance. Exact locations needs will be identified for establishing the helipads/heliports. These locations will be finalised in accordance with project exclusion criteria specified in the Program ESMF. Impact on local ecology, in particular birds and other noise sensitive fauna, will be assessed while finalising the locations for the helipads.

Timeline: DPRs will be prepared in the first year along with the land acquisition process. Construction of the helipads will start from the second year.

Project 2.7: Strengthening of existing Training Centres

Implementing Agency: Civil Defence and Home Guards Department

This Project aims at strengthening the training capacities for disaster response. The construction of a new training centre for civil defence will be carried out under the Project. Civic volunteers (targeted at 1 percent of the population of the State by the end of the Program period) shall be trained at these centres to respond to natural disasters.

Timeline: The DPR will be prepared in the first year. Part construction work of Battalion Training Centre at Markand will start from the first year.

2.2.5 Details of Projects under Component 3: Supporting mitigation measures, including eco-DRR and nature-based solutions

Project 3.1: Mitigation and Slope Stabilization of Vulnerable Landslide Sites

Implementing Agency: HPPWD

Tentatively 32 sites with highly concentrated landslide instances have been identified for mitigation activities under this Project. Various slope stabilization and landslide mitigation measures involving structural interventions will be implemented. A strong focus will be on including nature-based solutions/bioengineering for the mitigation measures. Inclusion of local community and women in these activities will be encouraged, provided that comprehensive safety measures are in place and the participation does not expose them to undue risks.

Timeline: In the first year, three DPRs will be prepared for the selected sites. In the following year, work will commence at the three sites, and DPR preparation will begin for the next five sites. A firm will be hired for DPR preparation to augment in-house capacity in HPPWD. The remaining sites will be completed in the third and fourth years.

Project 3.2: Area-specific Bioengineering Nurseries and Interventions

Implementing Agency: HPFD(Other IA: Horticulture wing of HPPWD)

Activities under this Project shall include strengthening forest nurseries for production of bed & tall plants, raising bed & tall plants in nurseries, bioengineering field works including geotextile application, and restoration of riparian and stream bank ecosystem. Inclusion of women in these activities, particularly nursery development, shall be one of the key aspects in this Project. Chemical pesticides will not be applied in these nurseries. The plants produced by the nurseries will be used in priority for nature-based solutions used in Project 3.1.

Timeline: The Project will be initiated in the first year with hiring of Firms for DPR preparation for development of nursery structures. There will also be procurement of seeds and planting equipment and development of automated irrigation system from the second year.

Project 3.3: Creating Climate Change & Earthquake Resistant Technology Demonstration Units (TDUs) at an existing engineering institute

Implementing Agency: DMC

TDU is a comprehensive training and demonstration centre for all hazards. The primary objective of TDU is to install simulators and demonstrators that can replicate real-life conditions of various hazards, such as earthquakes and fires, to provide hands-on training on effective response strategies. Additionally, it will be utilized for sensitizing officers, students, and the community by enabling them to experience the impact of disasters through a virtual environment. Using the TDU, awareness programmes will be organized for beneficiaries through demonstrations and showcasing of live and animated working models. A site for this Project is identified in Sunder Nagar. The design of the TDU shall ensure that local community is not adversely impacted due to vibrations. Further, access will be provided for people with special needs. During the development and operation phases, a gender action plan will be implemented. Project-specific ESMPs, including traffic and waste management strategies, will be put into practice in accordance with the Program ESMF.

Timeline: First year will be dedicated to trainings and visits to better understand the various strictures that could be put in place, and DPR preparation. Construction will happen in Years 2 to 4.

Project 3.4: Implementing Hazard-resistant Critical Infrastructure

Implementing Agency: DMC

Retrofitting of about 10-15 buildings shall be undertaken under this Project. The buildings will be selected from a pre-identified list (approximately 200 buildings have been identified) according to an assessment done by the State and various departments. The process of identifying buildings for retrofitting involves several stages. The first step is conducting a Rapid Visual Survey (RVS) of the buildings to assess their basic structural condition. The second step is carrying out a Detailed Vulnerability Assessment (DVA), during which the age of the building should be checked to ensure that the building is not newly constructed. Priority should be given to critical and lifeline buildings, such as schools, hospitals, administrative buildings, bridges connecting major villages, borders, hospitals, headquarters, water tanks, and food godowns. The third stage involves DPR preparation for the selected buildings. An essential criterion throughout this process is that the cost of retrofitting should not exceed 30 percent of the construction cost.

Seismic retrofitting of these buildings includes modification of existing structures to make them more resistant to seismic activity, ground motion and soil failure due to earthquakes. Seismic retrofit strategies like the addition of cross braces, new structural walls, using of base isolation systems, using advanced materials (e.g., fibre-reinforced polymers, fibre-reinforced concrete, and high strength steel) etc. will be used on a case-by-case basis. Retrofitting measures will ensure compliance with the latest seismic design standards, including the ones outlined in IS 1893 (Part 1): 2016 and other relevant codes.

Some arrangements (“seismic risk proofing”) to the internal parts of the buildings and seismic risk trainings will also be done to the users of the buildings to increase their preparedness. Furthermore, the modification planned in these retrofitting shall include measures to improve accessibility for people with disabilities by incorporating features such as ramps, elevators, and accessible restrooms, in line with universal design principles and relevant accessibility standards.

Timeline: Buildings will be selected in the first year in collaboration with leading technical institutions of national importance and DPR preparation will be taken up; Year 2 to 5 will involve actual retrofitting.

2.2.6 Details of Activities under RBF Sub-component of Component 1

Activity 1.5: Mainstreaming Climate Change and Disaster Risk Resilience in HP

Implementing Agency: DMC (other agencies: DEST&CC, HPFD, Panchayat Raj Department, Municipal Council of Chamba)

This Activity shall develop integrated climate action and disaster management plans (DMP) in the rural, forest, and urban sectors, to limit and adapt to climate change. The objective is aligned to Sustainable Development Goal (SDG) 13-Climate Action as well as the SDMP. Consulting firms shall be hired in Year 1 and the outputs will be spread from Year 2 to 4. Results under this Activity shall include:

- a) In Year 2, preparation of climate action and disaster integrated Gram Panchayat Development Plans (GPDP) for three Gram Panchayats: Manikaran - a tourist hub, Palchan - forest fire prone and Rangway - avalanche prone areas.
- b) In Year 3, preparation of Forest Fire Management Plans for three Divisions and for the State as a whole. The Plans shall include forest fire management strategies and practices including involvement of local community and women, capacity of the stakeholders, fire management planning with cost-benefit analysis, as well as damages and impacts of forest fires.
- c) In Year 4, development of a City Climate Action Plan (CCAP) for Chamba town, which will include a framework for identifying and implementing climate actions within developmental plans and policies to reduce greenhouse gas (GHG) emissions, adopt low emission development trajectories and increase climate resilience through involvement of gender.

The GPDPs and CCAPs shall specifically address engagement of local community and inclusion of gender aspects.

Activity 1.6: Improvements to Disaster Risk Reduction (DRR) Framework in the State

Implementing Agency: DMC (other agencies: DEST&CC and HIMCOSTE)

This Activity includes an update to the SDMP, DDMPs, and the HP Disaster Management and Relief Manual and developing a resource hub of various knowledge products. Key results include:

- a) In Year 2, a comprehensive update of the HP Disaster Management and Relief Manual. The updated Manual will, amongst other things, include gender aspects and Emergency Procurement Guidelines formulated under Activity 1.8.
- b) In Year 3, development of a knowledge repository for climate change and biodiversity management, which will be a database of general and site-specific studies on climate and biodiversity management conducted in the past, as well as future studies related to the core themes of climate action and disaster management. This shall be in line with Section 5.1.5 of the HP SAPCC, which puts emphasis on the lack of a database on climate and biodiversity management. This repository will also include knowledge material produced under project 1.3.

- c) In Years 4 and 5, updates to all 12 DDMPs and finally the SDMP, will be undertaken. The SDMP and DDMPs need to be updated to include gender aspects; people with special needs; preparation for recovery from major natural catastrophes; measures to ensure safety of life; protection of environment; and recovery of lost or damaged records or information after a disaster. The updated DMPs shall also include a work plan to address common areas of action between the DMPs and the SAPCC.

Activity 1.7: Mainstreaming Gender in Disaster Management

Implementing Agency: DMC (other agencies: Women and Child Development Department, Education Department, Administrative Reforms Department)

This Activity shall cover creation of gender-sensitive policies and actions across the disaster management cycle. Key results include:

- a) In Year 1, a diagnostic study on hindrances in mainstreaming gender in disaster management, which will study the present status and come up with recommendations based on national and international frameworks and best practices.
- b) In Year 2, formulation of Guidelines for Mainstreaming Gender in Disaster Management, which will draw upon the recommendations of the diagnostic study and include gender-inclusive assessments and gender design elements in strengthening disaster resilience and disaster recovery.
- c) In Years 3 and 4, dissemination of the Guidelines and good practices through a series of workshops and outreach events covering government officials, local citizen groups, non-governmental organizations, and the general public across all districts.
- d) In Year 5, based on the feedback of the workshops and outreach events, preparation of a policy document on gender mainstreaming in disaster management. The policy document must cover different disaster management functions like planning and management (HPSDMA, DDMA), training (HCDRR), and response (SDRF). The policy document will, at a minimum, specify measures to increase women workforce participation in the Program implementing departments and the newly proposed institutions, cover trainings on mitigation and response focusing on rural women communities, and require dissemination of disaster management teaching modules in schools and universities to encourage early adoption of disaster management as a career choice among women. In addition, the first Annual Report on the inclusion of women in disaster management in related State entities (e.g., in HPSDMA, DDMA, HCDRR, SDRF, etc.) will also be produced.

Activity 1.8: Improving disaster-responsiveness of the State's Public Finance Management (PFM) system.

Implementing Agency: DMC (other agencies: Finance Department, Planning)

This Activity aims to strengthen the State's PFM architecture to enable enhanced disaster-resilience, relying upon the DRR-PFM Toolkit released by the World Bank.⁶ Key results include:

- a) In Year 1, undertaking a DRR-PFM diagnostic study to identify gaps in the State's PFM systems with reference to the DRR-PFM Toolkit and come up with policy and process recommendations to implement the DRR-PFM framework.
- b) In Year 2, issuance of Emergency Procurement Guidelines governing policies and procedures for procurement in times of disasters and other emergencies. The Guidelines will lay down the underlying circumstances necessitating emergency procurement, the delegation of financial powers, relaxations from normal procurement procedures, and the related internal and audit controls.
- c) In Year 4, implementation of any two policy-level recommendations of the diagnostic study as decided by the Finance Department in consultation with the DMC.

Activity 1.9: Implementing technology solutions for effective disaster mitigation and response

Implementing Agency: DMC (other agencies: Tourism & Civil Aviation, HPFD, Information Technology Department/HP Unit of the National Informatics Centre (NIC))

The objective of this Activity is to improve the responsiveness, efficiency, and effectiveness of disaster management capability in the State through the implementation of IT solutions. Key results include:

- a) In Year 2, closing out on functionality requirements and an implementation plan for three software applications, namely, a Disaster Management Plans Monitoring System (DMPMS), a Tourist/Pilgrim Management System, and a Spatially Integrated Hazard Vulnerability and Household Information System.
- b) In Year 3, implementing the DMPMS, which would enable updating of action taken against SDMP, DDMPs and Departmental DMPs, and provide dashboards for monitoring progress at different levels.
- c) In Year 4, implementing the Tourist/Pilgrim Management System, facilitating registration of tourists and tracking of tourist movement across key tourist spots/pilgrimage centres. The solution shall provide critical tourist position and movement data for emergency rescue and relief operations.
- d) In Year 5, implementing a spatially integrated Hazard Vulnerability and Household Information System, integrating with GoHP's Household Database (e-Parivar) and spatial tools developed under the Program to help identify likelihood of occurrence of

⁶<https://documents.worldbank.org/en/publication/documents-reports/documentdetail/403941645736502355/disaster-resilient-and-responsive-public-financial-management-an-assessment-tool>

various types of hazards in an area and direct prevention and relief activities towards disaster vulnerable and affected households.

The above solutions shall be developed in-house or through external vendors as appropriate. Risk mitigation measures should be considered for IT solutions, including robust data security protocols, system reliability, disaster recovery plans, regular maintenance, and privacy protection measures to safeguard sensitive information (to avoid data breach, system downtime during emergencies, privacy violations, etc.).

Table 4: Disbursement Linked Indicator Matrix shows the five Activities under the RBF Sub-component of Component 1, and the corresponding Disbursement Linked Indicators (DLI) along with the annual targets and the corresponding disbursement amounts.

Table 4: Disbursement Linked Indicator Matrix

RBF Activity/ DLI		Objective	Annual DLI Targets and Allocation (in EUR million)					Total
			1	2	3	4	5	
1	Mainstreaming Climate Change and Disaster Risk Resilience in the State (Activity 1.5) Responsibility: DMC in collaboration with the DEST&CC,HPFD, Panchayati Raj Department, and Municipal Council of Chamba	To develop integrated climate action and disaster management plans in select sectors to limit and adapt to climate change (SDG 13)		Gram Panchayat Development Plan (GPDP) including climate action and disaster planning aspects is prepared and approved for Manikaran, Rangway & Palchan Gram Panchayats (Note I, ii)	Divisional and State Forest Fire Management Plan are prepared and approved (Note iii)	City Climate Action Plan (CCAP) is prepared and approved for Chamba (Note i, iv)		
Allocation			-	1.30	2.20	0.50	-	4.00
<p>Note:</p> <p>(i) The GPDP and CCAP shall cover the relevant Gender and community engagement aspects as well.</p> <p>(ii) The GPDP shall include hazard risk, vulnerability, and capacity analysis; institutional arrangements for disaster management; and disaster specific preventive and mitigation measures.</p> <p>(iii) Divisional and State Forest Fire Management Plans shall include an assessment of damages and impacts of forest fires, fire management strategies and plans with cost-benefit analysis, fire management practices, and capacities of stakeholders.</p> <p>(iv) CCAP should be based on a baseline GHG emission inventory and an urban climate vulnerability assessment. It should include a framework for identifying and mainstreaming climate actions within city development plans, policies to reduce GHG emissions, and strategies to adopt low emission development trajectories and increase climate and disaster resilience.</p> <p>(v)</p>								
2	Improvements to Disaster Risk Reduction (DRR) Framework in the State	To update key policy documents governing disaster		Updated HP Disaster Management and Relief Manual notified (Note i)	Knowledge repository for climate change and biodiversity	All 12 District Disaster Management Plans	State Disaster Management Plan updated and	

RBF Activity/ DLI	Objective	Annual DLI Targets and Allocation (in EUR million)					Total
		1	2	3	4	5	
(Activity 1.6) Responsibility: DMC in collaboration with the DEST&CC and HIMCOSTE	management in the State			management developed (Note ii)	updated and approved (Note iii)	approved (Note iii)	
Allocation		-	0.50	0.50	1.00	0.50	2.50
<p>Note:</p> <p>(i) The updated HP Disaster Management and Relief Manual shall, amongst other things, cover Gender aspects and Emergency Procurement Guidelines.</p> <p>(ii) The knowledge repository shall host independent and site-specific studies carried out by universities, research institutions and donor agencies on climate and biodiversity linkage. The repository shall be indexed and searchable to inform future biodiversity conservation and strategy development. (Ref: Para 5.1.5 of HP SAPCC).</p> <p>(iii) The District and State Disaster Management Plans shall contain a work plan to address the requirements of HP SAPCC as well.</p>							
3 Mainstreaming Gender in Disaster Management (Activity 1.7) Responsibility: DMC in collaboration with the Women and Child Development Department, Education Department, and Administrative Reforms Department	To adopt gender-sensitive policies and actions across the disaster management cycle	Diagnostic study on hindrances in mainstreaming gender in disaster management completed and recommendations accepted	Guidelines for Mainstreaming Gender in Disaster Management issued (Note i)		At least 10 workshops held across the State for dissemination of the Guidelines (Note ii)	Annual reporting on the inclusion of women in disaster management related State entities (e.g., in HPSDMA, DDMA, HCDRR, SDRF, etc.)	
Allocation		0.50	0.50	-	0.50	0.50	2.00
<p>Note:</p>							

RBF Activity/ DLI	Objective	Annual DLI Targets and Allocation (in EUR million)					Total
		1	2	3	4	5	
<p>(i) Guidelines for mainstreaming gender in disaster management should include Gender-Inclusive Assessments, Gender design elements in strengthening disaster resilience and in disaster recovery assistance.</p> <p>(ii) The dissemination workshops/outreach programmes must cover all districts. Duration of each dissemination workshop shall be a minimum of one day. Participants must include government officials, local citizen groups, self-help groups, non-governmental organizations, and the general public. Feedback should be gathered, and consensus must be developed on minimum mandatory inclusion of women in various functions of disaster management.</p>							3
4	<p>Improving disaster-responsiveness of the State's Public Finance Management (PFM) systems (Activity 1.8)</p> <p>Responsibility: DMC in collaboration with the Finance Department and Planning Department</p>	To strengthen the State's PFM architecture to enable enhanced disaster resilience	DRR-PFM diagnostic study completed, and recommendations accepted	Emergency Procurement Guidelines notified (Note i)		At least two policy-level recommendations of the DRR-PFM diagnostic study implemented (Note ii)	
Allocation		0.50	1.00	-	1.00	-	2.50
<p>Note:</p> <p>(i) The Emergency Procurement Guidelines shall lay down the underlying circumstances for emergency procurement, the delegation of financial powers, procurement methods, relaxations from normal procurement procedures, and the related internal and audit controls.</p> <p>(ii) The two policy recommendations to be implemented shall be in addition to the Emergency Procurement Guidelines covered in Year 2, to be decided by the Finance Department in consultation with the DMC.</p>							
5	Implementing technology solutions for effective disaster mitigation and response (Activity 1.9)	To improve responsiveness, efficiency, and effectiveness of disaster management		Functional and software Requirement Specifications signed off for: - Disaster Management Plans Monitoring System	DMPMS implemented (Note i)	Tourist/Pilgrim Management System implemented (Note ii)	Spatially integrated Hazard Vulnerability and Household Information System

RBF Activity/ DLI	Objective	Annual DLI Targets and Allocation (in EUR million)					Total
		1	2	3	4	5	
Responsibility: DMC in collaboration with the Department of Tourism and Civil Aviation, Department of Language & Culture, the HPFD, Department of IT, and NIC State Unit	capability in the State		(DMPMS), - Tourist/Pilgrim Management System - Spatially-Integrated Hazard Vulnerability and Household Information System			implemented (Note iii)	
Allocation		-	1.00	0.50	0.50	2.00	4.00

Note:

- (i) DMPMS would enable updating of action taken against SDMP, DDMP and Departmental DMPs and provide dashboards for monitoring at different levels.
- (ii) The Tourist/Pilgrim Management System will facilitate registration of tourists and tracking of tourist movement across key tourist spots/ pilgrimage centres in HP.
- (iii) The Spatially integrated Hazard Vulnerability and Household Information System would integrate with the Household Database of Rural Development Department (e-Parivar), and spatial tools implemented under the Program, to help direct prevention and relief activities towards disaster vulnerable and affected households.

3.1.1 Contingency Early Response Component

The Contingency Early Response (CER) Component of the Program covers reconstruction and rehabilitation costs in the event of a major disaster. The objective of the CER Component is to provide liquidity in times of disaster-induced economic shock. This Component covers major floods, earthquakes, and drought, which cause damage of sufficient severity and magnitude to warrant major disaster assistance to supplement available resources. Activities supported under this Component include measures to support drinking water supply; repairs and restoration of damaged roads and bridges and damaged water supply; drainage and sewerage works; and restoration of communication lines. DMC will be the nodal implementing agency and coordinate with other specialized/relevant agencies or departments, such as HPPWD, for technical support and implementation of sector-specific activities. Projects undertaken under the CER Component will be subject to environment, social and gender safeguards as per the Program ESMF.

CER shall carry a zero allocation in the Program Expenditure Framework (PEF). The decision to activate the CER Component shall lie with the PSC. The approval shall be based on the intensity of the disaster,⁷ an estimate of the expenditure needed towards recovery and reconstruction and the shortfall in funding. The PSC, while according approval for activating the CER, shall specify reallocation of budget amongst Projects in the PEF, if necessary. Based on the PSC approval, the DMC will submit a request to AFD. A template for a CER Request is given in *Annex 2: Format for Placing CER Request*. DMC will inform the Department of Economic Affairs, Government of India (DEA) of the fact that they are mobilising the CER in the request for disbursement. At the time of communicating its approval to the CER request, AFD shall also indicate the revised financing pattern, applicable for prospective disbursements.

Disbursement under the CER Component shall be under the Reimbursement Track or as an advance as explained in *Section 4: Program Expenditure and Disbursement*. CER expenditure shall be subject to the same utilization reporting and audit arrangements as applicable for regular Program expenditure explained under *Section 6.4: Program Audit arrangements*.

3.1.2 Program Management Component

The Program Management Component covers expenditure towards hiring of consultants for: a Program Management Unit (PMU), a Program Management and Design Consultant (PMDC) for design and management of individual projects, and an independent verification agency (IVA) for verification of DLIs under the RBF Sub-Component of Component 1. It also includes provision of IT infrastructure for program management including implementation of a software solution called Program Management System with help from technical intuitions/agencies/firms including the State NIC. Training and capacity building is also included under this Component. Training & Capacity building cost shall include half- yearly trainings to division -level staff of the IAs. The training shall cover aspects about the program , program procedures, program FM and Procurement for all IAs. It also covers the salary of the

⁷ Indicative intensity of a Level 3 disaster as per the National Disaster Management Authority Guidelines

Program Director and Section Officer-Finance who will look after the financial aspects. If any of these officers do not work full time on the Program, AFD funds will only cover part of their salary proportional to actual time spent.

4 Program Expenditure and Disbursement

4.1 Program Budget and Financing

The Program outlay is Euro 100.00 million to be spent over five years, of which AFD will finance Euro 81.9 million. GoHP will finance the balance Euro 18.1 million from the State budget. AFD's financial assistance shall flow under two independent Disbursement Tracks -Reimbursement Track and RBF Track. The breakdown of AFD financing is shown in *Table 5: Disbursement Tracks*. Under the Reimbursement Track, GoHP will first incur expenditure from its budget and then claim the corresponding AFD share. Under the RBF Track, which is associated exclusively with the RBF Sub-component of Component 1, AFD disbursements will be against disbursement-linked results established by achievement of DLI targets.

Table 5: Disbursement Tracks

Disbursement Tracks	Amount (in EUR million)	AFD share	AFD financing (in EUR million)
Reimbursement (non-RBF)	79.65	77.3%	61.57
Reimbursement (Program Management)	5.35	100%	5.35
Results-based Financing (RBF)	15.00	100%	15.00
Total*	100.00	81.9%	81.9

*Amounts are rounded to the nearest two decimal places

Disbursement under the CER Component, if activated, shall be under the Reimbursement Track or as an advance, provided that these expenses are subject to audit and correspond to eligible budget lines defined in the PEF, with AFD share of funding at 100 percent. AFD and GoHP will work out a revised sharing pattern for the undisbursed portion of the AFD funding at the time of activating the CER such that the total AFD financing for the Program does not exceed Euro 81.9 million.

4.2 Multi-year Program Expenditure Framework

Eligible Program expenditures are defined in the Program Expenditure Framework. The PEF lists the proposed Projects/Activities and their estimated costs. The PEF is used to determine the boundary of eligible Program expenditure at a Program level and not at an individual Project/Activity level. *Table 6: Program Expenditure Framework Summary* gives a summary of the PEF by Program Components.

Annex 3: Multi-year Program Expenditure Framework gives the detailed PEF showing the expenditure breakdown over the Program period by Projects/Activities, by Budget Lines, and by nature of procurement/expenditure (goods, works, services including consultancies and operating costs).

Table 6: Program Expenditure Framework Summary

Program Components	Estimated Cost*		AFD Funding*		Percent age
	In EUR Mn	In INR Cr	In EUR Mn	In INR Cr	
Component 1: Enhancing disaster risk governance, through institutional capacities, risk understanding and knowledge management/dissemination	12.66	112.67	9.76	86.87	77.1%
RBF Sub-component of Component 1	15.00	133.50	15.00	133.50	100%
Component 2: Strengthening disaster preparedness, through effective early warning system and better emergency response capacities	45.68	406.55	35.37	314.82	77.1%
Component 3: Supporting mitigation measures, including eco-DRR and nature-based solutions	21.31	189.69	16.43	146.25	77.1%
Program Management	5.35	47.62	5.35	47.62	100%
CER Component	-	-	-	-	100%
Total	100.00	890.00	81.90	729.07	81.90%

*Amounts are rounded to the nearest two decimal places

Cost estimates in the PEF are indicative. Estimated costs of proposed investment Projects have been prepared based on the concept notes prepared by IAs during Program preparation. More accurate costs are expected to emerge when DPRs are prepared during Program implementation. Allocations to DLIs under the RBF Sub-component of Component 1 are assigned based on a subjective assessment of the relative contribution of the disbursement-linked results to the Program Objective. Estimates of Program Management expenses are based on anticipated resource requirements and expected costs.

The DMC shall undertake an annual revision of the PEF to ensure that it stays relevant to changes in the scope of the Program and Projects/Activities during Program implementation. These revisions shall be made on account of excess spending or savings in specific Projects/Activities, taking into account inputs from the IAs, and proposed to AFD for validation before being effective.

4.3 Disbursement Arrangements from AFD to Government of India

4.3.1 Advance

Disbursement in the form of advance is only possible for the Component. In case DMC wishes to mobilise an advance under the CER Component, it shall deliver to AFD a provisional forecast of expenses to be covered by the advance, along with:

- a) Supporting documentation (list of works proposed and goods/equipment/services to be procured);
- b) Updated version of the PEF as impacted by the CER activation, and updated annual procurement plan.

After validation by AFD, DMC can request a drawdown to AFD through DEA (CAAA). The funds released as advance shall be used within 12 months from the date of disbursement. The expenditure incurred shall be reported to the AFD by submitting a Disbursement Claim within six months from the date of disbursement. Such expenditure shall further be subject to audit as described in *Section 6.4: Program Audit arrangements*.

4.3.2 Disbursement claims

The GoHP shall pre-finance Program expenditure using its budgetary resources through the budget heads identified in the PEF and claim disbursement subsequently. Program disbursement claims would generally follow a half-yearly cycle. The DMC will submit an unaudited Disbursement Claim within 45 days of the end of each half-year (i.e., 15th November for first half and 15th May for second half) accompanied by supporting documents. The Half-yearly Disbursement Claim shall clearly indicate the amount claimed under the Reimbursement Track and the RBF Track separately. Amounts claimed under the Reimbursement Track shall be supported by expenditure vouchers and supporting bills. Amounts claimed under the RBF Track will be based on satisfactory achievement of annual DLI targets, as verified by the Independent Verification Agency (IVA) reports (See *Section 5.4.7: Independent Verification of Results under the RBF Sub-component*). The template of Disbursement Claim is given in *Annex 4: Disbursement Claim Form*. The claim shall also indicate amounts to be adjusted against advances, if any, obtained under the CER Component.

Processing of disbursement claims shall be subject to certain conditions.

- a) The minimum threshold for submission of a Disbursement Claim (for the Reimbursement Track and RBF Track combined) shall be Euro 100 thousand for the first claim and Euro 3 million for all subsequent claims, except the last claim.
- b) Disbursement processing shall be subject to the DMC obtaining a No Objection Certificate from AFD to the Annual Procurement Plan and updated PEF.
- c) Disbursement shall be subject to certification of Program expenditure by annual Program audit. Any ineligible Program expenditure identified in the annual Program audit shall be reported and adjusted in the immediate next disbursement claim.
- d) DLI-linked disbursement under the RBF Sub-component of Component 1 would be non-scalable i.e., the amounts would be disbursed only on full (and not proportionate) achievement of the corresponding annual DLI target.

4.3.3 Disbursement under CER Component

In the event of activation of the CER Component as explained in *Section 3.1.1:Contingency Early Response Component*, disbursements under this component shall not exceed 10 million euros (10 percent of the Program outlay). The Disbursement Claim shall be either for an advance or for reimbursements. The reallocation of budget lines inside the PEF post-disbursement of the CER Component will be proposed by DMC and validated by AFD.

4.3.4 Disbursement Schedule

The annual breakdown of AFD funding of Euro 81.9 million over the five-year Program period is shown in Schedule. Disbursements schedules shall be updated at least quarterly and shared with AFD on a regular basis, specifically before at the time of a new disbursement claim.

5 Program Implementation Arrangements

5.1 Program Governance

The overall governance of the Program will be the responsibility of two key entities:

- a) The Program Steering Committee (PSC), and
- b) The Program Executive Committee (PEC).

The PSC and PEC will work collaboratively to guide the Program toward achieving its development objectives.

5.1.1 Program Steering Committee

The Program Steering Committee will serve as the apex decision-making body for the Program, responsible for providing high-level strategic direction, policy guidance, and performance oversight.

Composition:

The PSC will be constituted by the existing State Executive Committee of the HPSDMA, chaired by the Chief Secretary, Government of Himachal Pradesh.

Key Responsibilities:

- a) Provide strategic direction to ensure the Program aligns with state and national disaster risk management strategies.
- b) Review progress against agreed-upon Program results indicators and disbursement-linked indicators.
- c) Endorse key decisions related to policy adjustments, institutional arrangements, and financial allocations.
- d) Ensure institutional ownership and accountability across Program IAs.

Meeting Protocol:

The PSC will meet at least bi-annually (every six months), with provisions for additional meetings if required.

Gender Considerations:

To promote inclusivity and foster diverse perspectives, the PSC will ensure adequate gender representation in its composition.

5.1.2 Program Executive Committee

The Program Executive Committee will serve as the principal operational body responsible for overseeing the day-to-day implementation of the Program. The PEC will ensure effective inter-agency coordination, financial discipline, and compliance with the PoM.

Composition:

The PEC will be chaired by the Administrative Secretary (Revenue) and will include senior representatives (Heads of Departments/Institutions) from all Program IAs as members. External technical experts may be invited, as required, to provide insights and guidance. Representatives from the AFD and the National Disaster Management Authority (NDMA) may be invited to participate as observers, subject to the Chairperson’s discretion. The Program Director of the HPDRRPP will act as the Secretary of the PEC, responsible for organizing meetings, logistics and reporting.

Key Responsibilities:

The PEC will be responsible for supervising the Program implementation and financial progress and managing inter-departmental coordination. More precisely, the PEC will be responsible for:

- a) Approving the Program’s annual action plan and budget across all implementing agencies.
- b) Reviewing financial performance and ensuring compliance with fiduciary requirements, including audits and procurement reviews.
- c) Facilitate inter-agency collaboration to address cross-cutting implementation challenges.
- d) Establishing and delegating powers to technical committees to support specific Program components.
- e) Reviewing and recommending adjustments to rules, regulations, procedures and frameworks considered necessary for achieving the Program objectives.

Meeting Protocol:

The PEC will meet at least on a quarterly basis (once every three months) to review implementation progress, address bottlenecks, and guide next steps. Additional meetings may be scheduled as needed. Ordinarily, seven days’ notice shall be given before holding a meeting of the PEC. In case of urgency, however, the meeting may be held at a shorter notice with the prior approval of the Chairperson. The quorum of the meeting will be 50 percentage members of the Committee, including the Chairperson. The presence of the Chairperson is mandatory. All meeting proceedings will be formally recorded, with minutes circulated to committee members within five business days following the meeting.

Gender Considerations:

To promote inclusivity and foster diverse perspectives, the PEC will ensure adequate gender representation in its composition.

Structure below shows the Program governance structure.

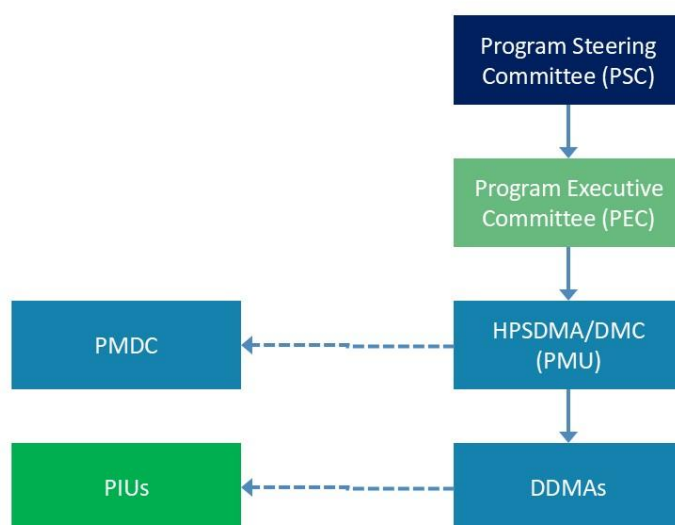


Exhibit 2: Overall Program Governance Structure

5.2 Program Implementation

The program implementation structure envisions decentralized project execution and distributed monitoring. The Disaster Management Cell – DMC will be the Nodal Agency for the Program. The Program Director (PD) shall report to Director cum-Special Secretary (Revenue).

The Program Director is responsible for the overall performance of the Program, with the following duties and responsibilities:

- a) To get the Annual Action Plan, Annual Procurement Plan and Annual Program Expenditure Framework prepared and validated in time to ensure proper budget preparation.
- b) To issue technical, administrative and financial guidelines, instructions and approvals in connection with the Program.
- c) To monitor the financial and physical progress of the Program.
- d) To supervise and review the progress of all activities under the Program and to ensure their implementation within the agreed timelines.
- e) To assign work to the PMU, PMDC and the IAs for achieving the objectives of the Program.
- f) Guide and supervise activities of project planning, implementation, monitoring, accounting, auditing, reporting and evaluation as per requirement and stipulations of this PoM.
- g) Review and seek approval of AFD and PEC on the annual revision of key Program documents.

- h) Periodically monitor project performance with the IAs and the PMU/PMDC through consultations, document review and field inspection.
- i) Report to the PEC and Director cum-Special Secretary (Revenue) on matters needing their attention.
- j) Initiate action on recommendations of the PEC and of AFD.
- k) Monitor the performance of the Grievance Redressal Mechanism as described in *Section 8.7.2: Grievance Redress Mechanism*.
- l) Approve exposure visit requests; IAs must first get permission for the exposure visit from their own HODs. After that, they should send the request to the Program Director, PMU, for final approval. The Program Director will approve it after completing the required process.

There will be a State-level Departmental Nodal Officer (SDNO) within each IA (i.e., government department or institution). The SDNOs of each IA are mentioned in *Table 3: Nodal Implementing Agencies and Projects*. Offices within the department/institution (at district level or division or sub-division level, as the case may be) shall serve as Project Implementation Units (PIU).

Within DMC, a PMU shall be established to support the PD in Program management. DDMA's will serve as the PMU's extended arms for overseeing Program execution at the district level. To support the PMU in Program management and the IAs in Program implementation, a project management consultant (called the Program Management and Design Consultant, or PMDC), shall be deployed.

The *Exhibit 3: Program Implementation & Monitoring Structure* shows the Program implementation and monitoring structure.

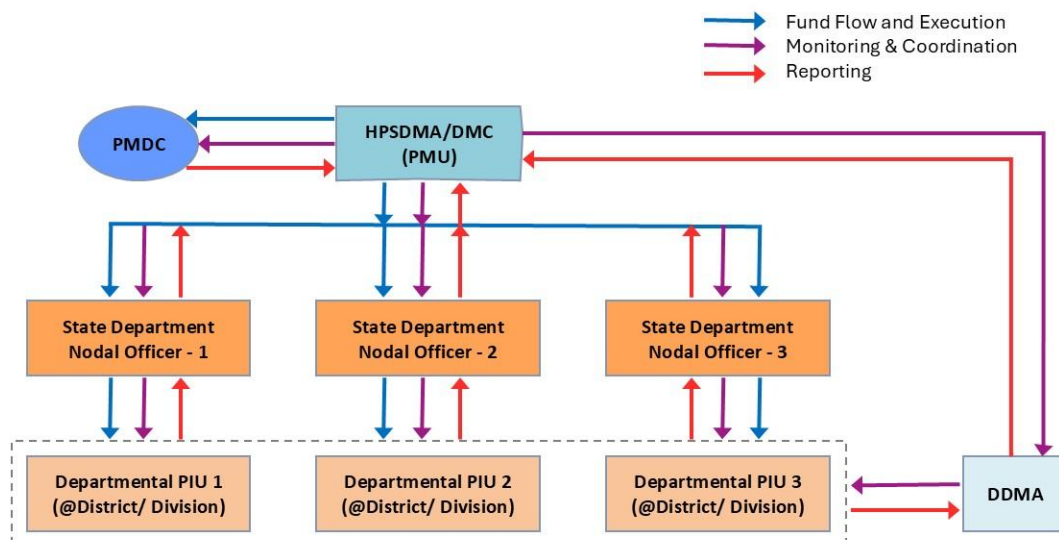


Exhibit 3: Program Implementation & Monitoring Structure

5.3 Responsibilities of PMU and PMDC

The PMU shall support the DMC in overseeing Program execution, physical progress/completion of Projects/Activities, and Program financial matters. The responsibilities of the PMU shall include the following:

- a) Program management.
- b) Coordination with Program IAs, including GoHP departments and other IAs.
- c) Coordination with other stakeholders such as GoHP Finance Department, Planning Department, C&AG, IVA and external agents.
- d) Guidance to the PIUs and PMDC for execution of individual Projects/Activities.
- e) Support in undertaking necessary procurement of works, goods, services, and consultancies.
- f) Oversight of fiduciary activities and E&S safeguards.
- g) Program monitoring, evaluation and reporting.
- h) Liaison with PEC and the PSC and higher levels of the Government and AFD.
- i) Monitoring Activities under the RBF Sub-component of Component 1 and co-ordinating with the departments involved in executing it.
- j) Co-ordination with the IVA for facilitating verification of results achieved under the RBF Sub-component.

PMDC shall provide technical, management, and administrative support to the DMC and IAs in project preparation, investment planning, execution, procurement, and training and capacity building. The PMDC shall also undertake progress monitoring, reporting, communication, and grievance redressal for projects funded under the Program. At the field level, the PMDC shall provide technical, operational, and/or administrative support, as needed to the DDMAAs and IAs during Program implementation.

Detailed responsibilities of the PMU and the PMDC are given in *Annex 6: Responsibilities of the Program Management Unit and Program Management and Design Consultant*.

5.4 Program Monitoring and Evaluation

The Program's Monitoring and Evaluation (M&E) framework will ensure systematic tracking of implementation progress, financial performance, and achievement of results. The framework is designed to support evidence-based decision-making, promote accountability, and facilitate adaptive management throughout the Program's lifecycle.

5.4.1 Regular Monitoring

The primary responsibility for Program monitoring and evaluation will rest with the PMU, which will serve as the custodian of all M&E functions. The PMU will ensure that timely, accurate, and relevant information is provided to all key stakeholders, including the PSC, the PEC, and AFD.

Key elements of the Program's M&E framework include:

- a) Periodic performance reviews by the PSC to assess overall physical and financial performance, evaluate outcomes, and identify implementation challenges.
- b) Operational oversight by the PEC to monitor day-to-day implementation, guide implementing agencies, and address technical and administrative bottlenecks.
- c) Validation of any significant deviation from the initially defined objectives, activities, or indicators by AFD prior to final internal approval by the PSC.
- d) Regular on-site inspections by AFD to assess implementation progress, operational integrity, and alignment with the agreed Program objectives.
- e) Retention of all Program-related documentation by HPSDMA for 10 years following the last disbursement under the AFD loan, with documents accessible for inspection upon request.

5.4.2 AFD inspections

AFD will regularly carry out inspections, the purpose of which will be to assess the Program implementation and operations as well as the impact and the achievement of the Program objectives.

5.4.3 Program Management System

A web-based Program Management System (PMS) will be developed and implemented during the first year of the Program. The DMC, in collaboration with the State unit of the NIC or other leading technical institution/agency/firm, will lead the PMS design, deployment, and operationalization.

The PMS will serve as a central platform for:

- a) Monitoring of Program activities, milestones, and deliverables.
- b) Integration of financial data to track expenditures, budget utilization, and disbursements.
- c) Centralized repository for Program-related documents, including reports, audit findings, and training materials.
- d) Upload and storage of photographic evidence with date, time, and GIS coordinates to track site-level activities and monitor infrastructure development.

Further details regarding the PMS's structure and functionality are provided in *Annex 7: Functionality Overview of the Program Management System (PMS)*.

5.4.4 Periodic Reporting of Physical and Financial Progress

Progress reporting and review will occur at different levels of the Program implementation structure. Weekly progress reviews of Projects/Activities will be held at the SDNO level within each IA. Monthly progress reviews of Projects will be conducted at the DDMA and at the DMC for the Program as a whole. These reviews will focus on Project/Activity progress against plans, delays, cost variations, the status of procurements, clearances, other compliances, and status of deposit works. Program expenditure position and the status of Utilization Certificates (UCs) will also be monitored. The reporting system on the PMS will support the review mechanism. Indicative templates of various progress reports are given in *Annex 8: Reporting Templates and Formats*. The PMU may, from time to time, make necessary changes in the templates with the approval of DMC to meet the evolving reporting needs and communicate such changes to all the Program IAs.

Monthly progress reports will flow from the IAs to DDMA and the DMC, and Quarterly Progress Reports (QPR) will be submitted by the DMC to the PEC and AFD, summarizing the Program's progress and reasons for slippages, if any. Additionally, a semi-annual report will be shared by the DMC with AFD. An indicative template of the semi-annual report is given in *Annex 9: Format of Semi-Annual Progress Report*.

5.4.5 Annual Reporting to AFD

Each year, prior to the budget approval process and before submitting any disbursement request, the DMC will provide AFD with the following documents:

- a) Annual Action Plan.
- b) Updated Program Expenditure Framework (global and annual).
- c) Annual Procurement Plan.
- d) Annual Program Financial Statements (as soon as they are approved).
- e) Human resource utilization report detailing staffing, new recruitments, and relevant budgetary allocations.

5.4.6 Mid-Term and End-Term Program Evaluation

To ensure accountability and facilitate adaptive learning, the Program will undergo two comprehensive evaluations. The DMC, in consultation with the AFD, will commission a Mid-Term Evaluation (MTE) at the commencement of the third year of the Program. The MTE will:

- a) Assess progress toward the Program objectives and intermediate results indicators.
- b) Evaluate the effectiveness of implementation arrangements.
- c) Analyse financial performance and expenditure efficiency.
- d) Identify systemic challenges and recommend mid-course corrections.

Based on the MTE findings, performance targets may be adjusted in consultation with AFD, provided such changes do not compromise Program integrity or objectives.

In the last year of Program implementation, the DMC will commission an End-Term Evaluation (ETE), which will be in the form of a Performance Audit entrusted to the C&AG, the Terms of Reference for which will be issued by GoHP. This ETE will assess the achievement of Outcome Indicators and capture key learnings from the Program.

5.4.7 Independent Verification of Results under the RBF Sub-component

To verify results under the RBF Sub-component, the DMC shall appoint a third-party institution/consultant as an Independent Verification Agency. The IVA will conduct a semi-annual verification of DLIs achieved during that period. The IVA will issue a DLI Verification Report which will form the basis for submitting the related Disbursement Claim to AFD. *Annex 10: Disbursement Linked Indicators and Verification Protocols for the RBF Sub-component of Component 1* gives an indicative verification protocol for each of the annual DLI targets as guidance for the IVA to plan the verification exercise.

The key responsibilities of the IVA shall include:

- a) Developing and submitting a comprehensive verification plan to DMC. This plan shall include a detailed work plan and verification arrangements proposed by the IVA for each DLI.
- b) Conducting verification to ascertain the achievement of each annual DLI target.
- c) Submitting verification reports in a format acceptable to the DMC. These reports will be reviewed, validated, and subsequently shared by DMC with AFD for feedback.

5.5 Visibility and Communication

The Program shall be implemented in accordance with AFD's Visibility and Communication Guide level 1 (see *Visibility Guide For AFD-Supported Projects (Level 1) | AFD - Agence Française de Développement*), the main requirements of which are:

- a) Make reference to the support of France and AFD. The France/AFD logo must be displayed on all communication materials used for the Program, throughout its entire duration.
- b) Provide photos to illustrate the Program: one or two photos must be sent to the AFD project team once the financing agreement has been signed, and then a selection of photos at key stages of the Program.
- c) Invite representatives from the local AFD office and the French embassy to important Program-related events, throughout its implementation.

6 Program Financing and Financial Management Arrangements

6.1 Program Budgeting and Funds Flow

6.1.1 Budget approval

The Program budgeting process would run coterminous with the annual budget cycle of GoHP. The Finance Department (FD) issues a budget circular in September-October which kickstarts the budget process in the Department of Revenue (DoR). The S DNO of each IA shall compile spending proposals from PIUs within the Department and submit the IA's Program expenditure proposal to the PMU, HPDRRPP. The PMU, HPDRRPP collects expenditure proposals from all Program IAs, reviews them and prepares the consolidated Program Budget Proposal. Program Budget proposals shall be aligned with each year's Action Plan, Procurement Plan and Expenditure Framework. All documents shall be prepared at the same time to ensure alignment.

After obtaining the approval of the HPSDMA, the PMU, HPDRRPP shall submit the Program Budget Proposal to the FD in December-January. Once the Annual State Budget is approved by the State Legislature (in February-March), the FD releases budget allocations under the respective Budget Lines to the DoR(DMC) on eVitrans-the Budget Module of HIMKOSH.

6.1.2 Budget distribution to Program IAs

The DMC shall be responsible for distributing Program budget allocations to each Program IA. Civil works, where required under the Program, would be undertaken by the HPPWD or other Government Implementing Agency involved in civil works on behalf of IAs under the 'Deposit Works' arrangement. In this arrangement, the DMC/IA transfers the related budget allocation to the Engineer-in-Chief (EnC) of HPPWD. The EnC, in turn, distributes the budget to divisional/sub-divisional offices within HPPWD through a system called 'Deposit LoC (Letter of Credit)'. Periodically, based on expenditure incurred, the EnC submits utilization certificates to DMC/IA. For other expenditure (non-works) to be incurred by the IAs, each SDNO redistributes the budget allocation to Drawing and Disbursing Officers (DDO) within the Department. The entire budget distribution happens on eVitrans.

6.1.3 Budget distribution under CER Component

Once the DMC obtains approval of the AFD to activate the CER Component as explained in *Section 3.1.1: Contingency Early Response Component*, the DMC will allocate the CER budget to the respective DDOs. In case of urgent requirements, the DMC may approve spending from the amount available with DDOs as impress, to the extent authorized under the Himachal Pradesh Finance Rules 2009 (HPFR). While communicating the budget allocation for CER spending, the DMC shall also indicate the Project/Activity from the budget has been adjusted.

6.1.4 Budget distribution –Internal

For Projects/Activities where the DMC itself is the IA and for Program Management expenses, the budget will be spent by the DMC directly and hence the need for distribution to other DDOs does not arise. If it considers necessary, the DMC may distribute part or whole of the budget allocation to any other IA following the process explained above.

6.1.5 Budget Revision

During the year, a budget revision can be initiated by the departments through demand for supplementary grants and savings and excess expenditures are regularised through re-appropriations. These are governed by the HPFR – Chapter 3 Budget formulation and implementation (Rules 40 to 59).

6.1.6 Utilisation Reporting

Based on the budget allocated under specific Budget Lines, IAs incur expenditure and submit UCs. Utilization reporting of Program budget shall happen at two levels. The HPPWD shall submit periodic self-certified UC to DMC/respective IAs for Deposit Works undertaken under the Program in the format prescribed in the HPFR/PWD rules. These UCs are mainly intended to enable the DMC/IA to monitor the physical and financial progress of civil works entrusted to HPPWD under the Program.

The second type of utilisation reporting shall be between the IAs and PMU, HPDRRPP. Within one month of the end of each quarter, each IA shall submit a self-certified UC to PMU, HPDRRPP. The quarterly UC shall cover all Program expenditure (works as well as non-works) incurred in the last quarter. The format of UC is given in *Annex 11: Format of Utilisation Certificate*. The DMC shall reconcile the UCs with e-Vitran and HIMKOSH before including the expenditure in the Disbursement Claim to AFD.

6.1.7 State Contribution

As agreed with AFD, the GoHP shall provide a financial contribution to the Program amounting to 18.1 percent of the total Program outlay. The State contribution to activities undertaken under the Program shall be clearly accounted for and detailed in the reports shared with AFD.

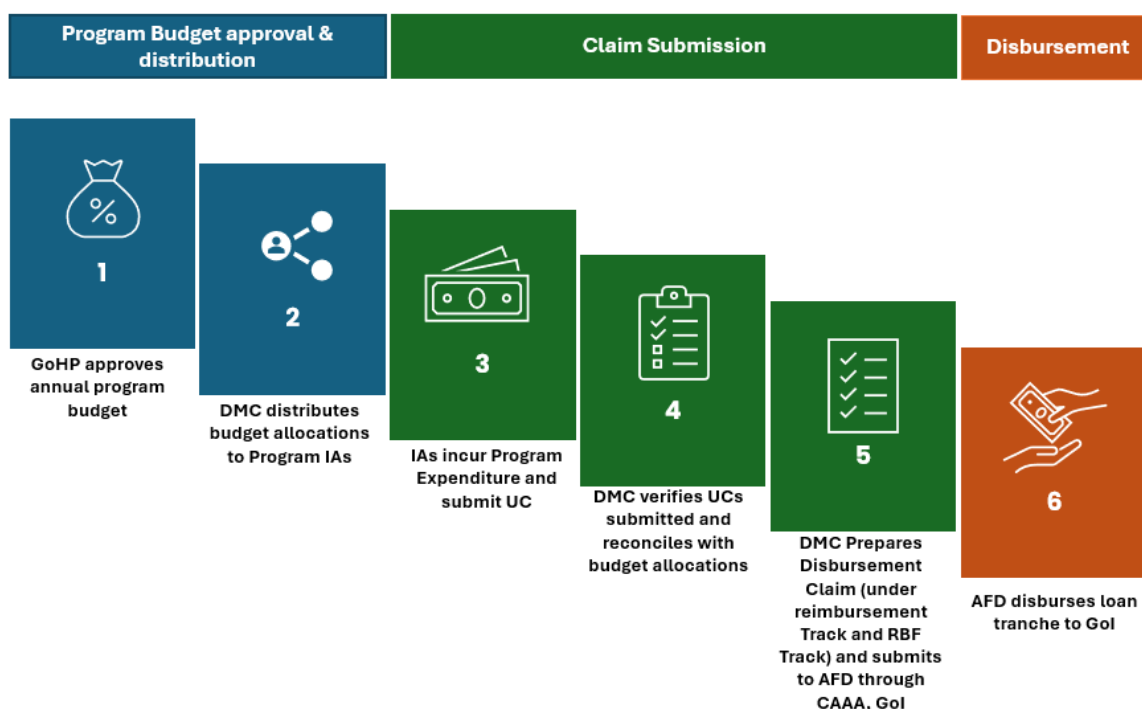
6.1.8 Recording of Assets and Control

Ownership of all assets bought from Program funds shall remain with the DMC and various IAs as per the established Rules of the GoHP. For the purposes of reporting, a statement showing the inventory of fixed assets financed under the Program, and held by the DMC and the respective IAs shall be submitted to AFD along with annual statement of accounts.

6.1.9 Program Funds Flow

GoHP follows the Treasury Single Account, which means cash management is centralized in HIMKOSH, and outflow of cash happens only when last-mile payments are made. *Exhibit 4:*

Overview of Program Funds Flow shows a schematic representation of the proposed funds flow under the Program.



AFD – French Development Agency; CAAA – Controller of Aid Accounts & Audit; DMC – Disaster Management Cell; GoI – Government of India; GoHP – Government of Himachal Pradesh; IA – Implementing Agency; RBF – Result Based Financing; UC – Utilization Certificate

Exhibit 4: Overview of Program Funds Flow

6.1.10 Payments to vendors and contractors

Payments to vendors and contractors by DMC and IAs will follow the regular rules followed by the Himachal State Departments.

6.2 Program Procurement

6.2.1 Procurement Plan

The DMC will submit an Annual Procurement Plan, template provided in *Annex 12: Annual Procurement Plan*, to the AFD within 15 days of approval of the budget and obtain AFD’s No Objection. AFD shall provide its No Objection within 30 days of submission by GoHP. The DMC shall also submit an updated PEF to AFD annually along with the Annual Procurement Plan.

6.2.2 Applicable Guidelines

Program procurements will be undertaken in accordance with the provisions of the HPFR, as amended from time to time. All Program IAs shall use the GoHP’s e-Procurement portal for procurements under the Program. For procurement of works, GoHP’s Standard Bidding Documents (SBD), used by HPPWD and JSV, shall be used. For goods, services, and consultancy procurements, specific SBDs based on the SBD of the World Bank, with minor

changes reflecting AFD's specific requirements, shall be used. Where available, goods shall be procured on the Government e-Marketplace (GeM). All bidding documents used for the Program shall include a Statement of Integrity in the format prescribed by AFD. The Statement of Integrity, in the format given in *Annex 13: Format of Statement of Integrity*, shall be obtained from the selected vendor at the time of execution of contract.

6.2.3 Procurement Responsibilities

The primary responsibility for procurement of goods, services, and consultancies under individual Projects/Activities shall be the responsibility of the respective IAs. SDNOs at the IAs shall be responsible for floating tenders and/or requests for proposals, finalizing the selection, and contract management. Procurement and contract management of civil works shall be undertaken by the HPPWD, or other government agencies on behalf of the IAs under the deposit works arrangement. The SDNOs shall be assisted by the PMU and PMDC in procurement activities. The DMC shall be responsible for giving concurrence to the tender/bid documents, evaluation reports, and contract documents. The DMC shall be assisted by the PMU in this function. The responsibility for different procurement activities is given in *Table7:Procurement Activities and Responsibilities*.

AFD shall not validate each individual procurement process under the Program. However, the annual Program audit shall cover the procurement process to ensure that all contracts resulting in expenses claimed under the Program have complied with the applicable rules. Any expenses that do not meet these requirements shall not be eligible for reimbursement from AFD.

Table7:Procurement Activities and Responsibilities

Sl. No.	Procurement Activity	Initiation	Review	Approval
1.	Identification of procurement need and potential vendors	PIU	-	SDNO
2.	Development of procurement specifications	PIU	PMU	SDNO
3.	Development of procurement terms of reference, evaluation criteria and finalisation of Request for Proposals	PIU	SDNO	DMC
4.	Tendering for procurement	PIU	-	SDNO
5.	Review of bids and selection of most preferred bidder	PIU	PMU	SDNO
6.	Award of contract	PIU	PMU	SDNO

6.3 Program Accounting

6.3.1 Accounting Program Expenditure

GoHP follows the cash basis of accounting, under which expenditure is accounted in HIMKOSH only when the underlying bills are paid. All payments, including those under the LoC system for Deposit Works, shall be made through the Treasury and recorded on HIMKOSH. HIMKOSH shall serve as the primary source of information for tracking Program expenditure. HIMKOSH allows tracking of Program expenditure against specific Budget Lines and against each DDO. For more granular tracking of Program expenditure against specific Components and

Projects/Activities, the DMC and IAs shall use the PMS application. Further, expenditure on Deposit Works is accounted against a single Budget Line (called Omnibus Head of Account) on HIMKOSH. For detailed monitoring of Deposit Works expenditure on PMS, the DMC/IAs shall rely on UCs furnished by HPPWD. DMC and IAs shall periodically reconcile the Program expenditure figures on PMS with HIMKOSH data.

6.3.2 Program Budget Lines

Under PBS, AFD funding shall be tied to specific Budget Lines mapped to the Projects/Activities in the PEF. All expenditure under the Program shall be under the Major Head '2245 – Relief on Account of Natural Calamities,' and specific Sub-Major and Minor Heads under it. A new Scheme Code shall be created in HIMKOSH for the Program at the Sub-minor head level. The combination of Major, Sub-Major, Minor and Sub-Minor heads constitute the Budget Line against which Program expenditure is accounted on HIMKOSH. The list of Budget Lines mapped to individual Projects/Activities and estimated Program expenditure by Budget Lines is shown in *Annex 3: Multi-year Program Expenditure Framework*. Expenditure under CER, if activated, shall be recorded under one or more of the Budget Lines identified for CER in the PEF, depending on the purpose for which it is utilized.

6.4 Program Audit arrangements

6.4.1 Annual Program Audit

Program audit will be undertaken by the Principal Accountant General (Audit) of HP in response to an Audit Terms of Reference (ToR) issued by GoHP. The Audit ToR is given in *Annex 14: Terms of Reference for Program Audit*. The audit arrangements and scope are in the nature of a Program expenditure audit, which is in line with those presently followed by the GoHP for Externally Aided Projects. The DMC shall prepare Annual Program Financial Statements (APFS) and submit the same for audit within three months from the end of each Financial Year. A template of the APFS is given in *Annex 15: Format of the Annual Program Financial Statements*. The timeline for completion of Program audit shall be nine months from the end of the Financial Year.

Detailed Program financial management arrangements are covered in *Annex 16: Detailed Program Financial Management Arrangements*.

6.4.2 Anti-Money Laundering & Countering the Financing of Terrorism Due Diligence

The AFD requires the commissioning of an Anti-money laundering (AML) and countering the financing of terrorism (CFT) due diligence under the Program. This may include a review of the establishment and proper functioning of the means of control to ensure compliance with the agreements regarding the fight against money laundering and terrorist financing, in particular compliance with regulations regarding economic and financial sanctions. The DMC shall develop a ToR for the due diligence in consultation with the AFD and appoint an auditor for this purpose.

7 Fiduciary Risk Mitigation

7.1 Key Risks

The Fiduciary Systems Assessment (FSA) undertaken during Program preparation concluded that the Public Financial Management systems of the GoHP were adequate for the Program. The FSA identified certain weaknesses, which could potentially pose risks to the Program outcomes. These include:

- a) **Archaic PFM Rules:** The Himachal Pradesh Financial Rules - 2009 require an update following the 2017 upgrade of Government of India's General Financial Rules (GFR).
- b) **Fragmented procurement framework:** A lack of a cohesive legal framework and standardized bidding documents hinders uniformity in procurement processes.
- c) **Absence of internal audit:** Internal audit mechanisms are absent, increasing reliance on utilization certificates and external audits for accountability.
- d) **Gaps in HIMKOSH:** The eKosh module of HIMKOSH does not provide complete visibility into expenditures, especially for Deposit Works. Additionally, tracking of expenditure on individual Program activities is not fully facilitated.
- e) **Fiduciary capacity variations:** Variability in fiduciary capacity across Implementing Agencies presents challenges in compliance with financial management and procurement processes.

7.2 Mitigation Action Proposed

Table 8: Fiduciary Risks and Mitigating Actions give a summary of the key risk areas and recommended mitigation actions. The placement of each mitigation action i.e., either as a loan covenant, in the Program FM arrangements, as a Program M&E action, or as an action in the Program Action Plan (PAP) is also identified.

Table 8: Fiduciary Risks and Mitigating Actions

Key risks areas	Mitigation actions and placement
Non-completion, and/or major cost escalations of Projects financed under the Reimbursement Track	<ul style="list-style-type: none"> • Program M&E arrangements to specifically include review of implementation delays and cost escalations (<i>Program M&E</i>) • APFS and Program audit terms of reference detailing the financial audit requirements (<i>Program FM arrangements</i>) • Program audit completion within nine months from end of financial year (<i>Program FM arrangements</i>) • End-term Program performance audit (<i>Program M&E</i>)
Potential budgetary out-turns and variances due to policy changes or as a causal effect of disasters and emergencies	<ul style="list-style-type: none"> • Clear mapping of Budget Lines to Program Activities and earmarking of budget for CER (<i>Multi-year PEF</i>)

Key risks areas	Mitigation actions and placement
Traceability of the Program expenditure under the CER Component, if activated	<ul style="list-style-type: none"> • Clear operating and financing modalities for CER Component (<i>Program FM arrangements</i>)
Traceability of expenditure on Program Projects/Activities for effective monitoring of the PEF	<ul style="list-style-type: none"> • Granular recording and monitoring of expenditure by PEF line items outside HIMKOSH (physical/electronic), and periodic reconciliation with HIMKOSH (<i>Program FM arrangements</i>) • Quarterly utilization reporting by all IAs (<i>Program FM arrangements</i>)
Monitoring of Deposit Works under the Program	<ul style="list-style-type: none"> • Quarterly utilization reports of Deposit Works from HPPWD to DMC/IA (<i>Program FM arrangements</i>)
Non-uniformity in procurement process and documents	<ul style="list-style-type: none"> • Usage of SBD: Works-SBD of HPPWD, Goods-GeM and SBD of World Bank, Services including Consultancies-SBD of World Bank (<i>Program FM arrangements, PAP</i>) • Statement of Integrity to form part of all bidding documents (<i>Program FM arrangements</i>) • AFD's No Objection Certificate to be obtained for Annual Procurement Plan (<i>Program FM arrangements</i>) • Updated PEF to be submitted annually to AFD(<i>PAP Action</i>)
Absence of internal audit	<ul style="list-style-type: none"> • Quarterly self-certified utilization reporting by all IAs (<i>Program FM arrangements</i>) • AFD disbursements subject to disallowance of Program expenditure in annual Program audit (<i>Program FM arrangements</i>)
Variations in Program FM capacities amongst IAs	<ul style="list-style-type: none"> • Half-yearly training on Program FM and Procurement for all IAs (<i>PAP Action</i>) • Preparation of a Program Operations Manual (<i>Loan covenant</i>)

8 Environment, Social, and Gender Aspects

8.1 Environmental, Social and Gender Commitments

The HPDRRPP encompasses 20 projects across three program components / result areas. To ensure green, resilient, and inclusive development, an Environmental and Social Management Framework (ESMF) has been established to safeguard communities, natural ecosystems, and cultural heritage while promoting sustainable and equitable development. By adhering to the ESMF, important advances in areas such as fair labour practices, inclusion and non-discrimination, gender, climate change, biodiversity, community health and safety, and stakeholder engagement may be achieved.

The GoHP is responsible for implementing all necessary measures to ensure compliance with applicable national regulations and AFD's E&S requirements, including:

- a) AFD's Environmental and Social Risk Management Policy for AFD-funded operations
- b) Core and fundamental conventions of the International Labour Organization (ILO) ratified by India.

Additionally, the Program will adhere to national E&S laws and regulations governing land acquisition, biodiversity protection, labour rights, and disaster risk management.

To operationalize these commitments, the Environmental and Social Commitment Plan (ESCP) defines the key material measures, actions, required documentation, and timelines necessary to meet AFD's E&S standards. The GoHP is responsible for ensuring compliance with all E&S requirements specified in the ESMF, ESCP, and the Gender Action Plan (GAP), as well as any additional due diligence measures that may be developed during Program implementation. This commitment ensures that the HPDRRPP not only mitigates E&S risks but also contributes to long-term resilience, equity, and sustainability in Himachal Pradesh.

8.2 Applicable Standards

The AFD has established Operating Procedures⁸ to identify, prevent or mitigate E&S risks and impacts, as well as to address potential human rights violation that may result from AFD-financed activities. AFD adheres to the principles and guidelines of the World Bank's Environmental and Social Framework (ESF) and its applicable Environmental and Social Standards (ESS), particularly those related to involuntary resettlement, stakeholder engagement, and grievance redress mechanisms (GRM).

⁸Environmental and Social Risk Management Policy for AFD-funded Operations. Available at: https://www.afd.fr/sites/afd/files/2017-10/Environmental-social-risk-management-policy-afd_0.pdf

The relevant World Bank E&S policies and standards applicable to the program context are summarized in *Table 9: Applicable AFD/World Bank Safeguard Standards*. This review ensures that the Program meets the necessary requirements for sustainable and responsible implementation while safeguarding communities and environmental resources.

Table 9: Applicable AFD/World Bank Safeguard Standards

AFD/ World Bank Safeguard Standards	Description	Applicability to HPDRPP
ESS1: Assessment and Management of Environmental and Social Risks and Impacts (OP/ BP 4.01 Environmental Assessment)	Integrates Environmental and Social Assessment; includes requirements related to non-discrimination and social inclusion; proportionality and adaptive management; use of the ESCP.	Applicable. As the specific interventions envisaged building construction, creation of helipad and fire station, land slide mitigation etc. which may involve have some potential adverse environmental impacts in their area of influence. Such impacts will depend upon their location, nature and magnitude of interventions. ESS 1/ OP 4.01 has been triggered to ensure that such interventions have sound and sustainable design measures by integrating environmental dimensions into the over-all decision-making process. Identification of any potential impacts and mitigation/ enhancement measures to address likely impacts is proposed.
ESS2: Labor and Working Conditions (OP/ BP 4.01 Environmental Assessment)	Prohibits child labour and forced labour, heightened focus on OHS, grievance mechanisms	Applicable for all civil construction projects.
ESS3: Resource Efficiency and Pollution Prevention and Management (OP4.09 Pest Management)	Promotes efficient management of energy, water, and other resources and materials; hazardous materials management; pesticides; GHG assessment mandate	Applicable for all civil construction projects.
ESS4: Community Health and Safety (OP/BP4.37 Safety of Dams)	Assess risks and impacts on communities; Design of safe and resilient infrastructure, equipment operation, products, services, road safety, hazardous materials; emergency preparedness	Applicable. As the specific interventions envisaged under the project building construction, creation of helipad and fire station, land slide mitigation etc. which may involve have some potential adverse impact on community health and safety in their area of influence.

AFD/ World Bank Safeguard Standards	Description	Applicability to HPDRPP
ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement (OP/BP4.12 Involuntary Resettlement)	Greater clarity on treatment of state land, land titling, access to common resources, voluntary transactions, forced evictions	Applicable for all infrastructure related projects.
ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources OP/BP4.04 (Natural Habitats) and OP/BP4.36 (Forests)	Expanded requirement to assess and mitigate impacts on biodiversity including in primary supply chains; biodiversity offsets; management of living resources in additional sectors (e.g. agriculture)	Applicable , as 8 helipad Locations are under Forest Area ⁹ (refer to Annexure 3 of ESMF).
ESS7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities (OP/BP4.10 Indigenous Peoples)	Clearer definitions of IP, requires FPIC in specified circumstances	Applicable for the project in tribal districts of HP like Kinnaur, Lahaul and Spiti.
ESS8: Cultural Heritage (OP/BP4.11 Physical Cultural Resources)	Enhanced consultation with affected communities, intangible heritage	Applicable for the projects, depending on siting.
ESS9: Financial Intermediaries	Establish E&S procedures commensurate with FI nature, risk level and impact	Not Applicable to any of the projects.
ESS10: Stakeholder Engagement and Information Disclosure	Meaningful consultation, access to information and grievance redress through the life of project	Applicable for all projects.

8.3 Project Categorisation and Exclusion

AFD analyses and classifies all potential projects into **High (A) – Substantial (B+) – Moderate (B) – Low (C)**, depending on the extent of the potential E&S risks. The classification considers the nature and scale of the operation, location and sensitivity of the affected area, the severity of the potential E&S risks and impacts, and the client’s capacity to manage them. These projects must not only adhere to the national and state level E&S laws, regulations and policies but also World Bank E&S standard (2016), AFD’s E&S risk management approach and other international guidelines, conventions, and best practice methodologies pertaining to E&S issues, wherever gaps may exist (Refer to Chapter 3 of ESMF). To confirm that none of the Projects would have significant E&S impact, a screening checklist (Refer Annexure 4 of ESMF)

⁹ namely Bumblooin Hamirpur District, Janjehli/Khanukhali, Raingaloo, Rutatan, Shikarimata, Kamaruna (Khund) Tehsil Chachiot, Dhar Kashoud, and Prasherin Mandi District.

is used. AFD has identified a list of prohibited activities under the laws of national (host country) and international regulations, as well as international conventions and agreement creating commitment towards achieving sustainable development goals. Compliance to this exclusion list, as listed below, need to be ensured before project implementation and during the project cycle.

- a) Any equipment, sector or service subject to economic sanctions issued by the United Nations, the European Union or France, without absolute or relative restriction regarding the amount;
- b) Production or activity involving forced labour¹⁰, child labour¹¹ or trafficking in human beings¹²;
- c) Illicit activities involving organs, tissues and products of the human body, or genetic engineering activities banned by the national bioethical standards of France¹³ or of the host country, and by relevant applicable European or international standards¹⁴;
- d) Trade, production, breeding or possession of animals, plants or any natural products in breach of the provisions of CITES¹⁵;
- e) Fishing activity using a driftnet more than 2.5 km in length;
- f) Research, purchase, promotion or multiplication of genetically modified seeds¹⁶;
- g) Production, use or trade of hazardous materials (such as asbestos fibres) and all products (including chemical products, pharmaceuticals, pesticides/herbicides, ozone depleting substances¹⁷ or any other hazardous product) the production or use of which is banned, or which will be phased out in the regulations of destination countries or internationally;
- h) Transboundary trade of wastes, except those consistent with the Basel Convention¹⁸ and its underlying regulations;

¹⁰“Forced labor” refers to any work or service performed involuntarily and exacted from an individual by threat of force or punishment as defined in the conventions of the International Labor Organization (ILO).

¹¹Employees must be at least 14 years of age as defined in the ILO’s Declaration on the Fundamental Principles and Rights at Work (C138 – Minimum Age Convention, Article 2), unless local laws require compulsory schooling or a minimum age for admission to employment or work. In such circumstances, the highest age requirement must be used.

¹² Council of Europe Convention on Action against Trafficking in Human Beings (2005); Directive 2011/36/EU.

¹³V. AR. 16 à 16-14 of the French Civil Code (mainly as set out in Law No. 94-653 of 29 July 1994 on the respect for the human body and Law No. 2004-800 of 6 August 2004 on bioethics).

¹⁴The Convention for the Protection of Human Rights and Dignity of the Human Being with regard to the Application of Biology and Medicine: Convention on Human Rights and Biomedicine (Oviedo, 04/04/1997); Council of Europe Convention against Trafficking in Human Organs (Saint-Jacques-de-Compostelle, 25/03/2015).

¹⁵ CITES: Convention on International Trade in Endangered Species of Wild Fauna and Flora (Washington, 1973).

¹⁶Programming Act No. 2021-1031 of 4 August 2021 on inclusive development and combating global inequalities prohibits financing by AFD of activities involving the purchase, promotion or multiplication of genetically modified seeds (LPDSLI – Cadre de partenariat global [Global Partnership Framework] Part II – B – b / - 3 - paragraph 6). AFD adds research activities to this (Territorial and Ecological Transition Strategy 2020-2024).

¹⁷Any chemical component which reacts with, and destroys, the stratospheric ozone layer leading to the formation of “holes” in this layer. The Montreal Protocol lists ozone depleting substances (ODS), their reduction targets and the deadlines for phasing them out.

¹⁸ The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal is available at: www.basel.int

- i) Exploitation of diamond mines and marketing of diamonds in countries that have not adhered to the Kimberley Process;
- j) Illicit trade or activities that facilitate the illicit traffic of cultural property¹⁹.
- k) Disputed border territories.

8.4 Project Impacts and Mitigation Measures

The primary E&S risks and impacts anticipated during the implementation of the Program stem from the development of physical infrastructure. Given that the exact locations and designs of several proposed projects are yet to be finalized, a comprehensive assessment of their E&S impacts cannot be conducted at the time of preparation of the PoM. Additionally, soft component-based projects—such as feasibility studies, technical assistance, and capacity-building activities that do not involve DPR preparation or construction—are not expected to generate significant environmental or social impacts.

During implementation, the findings from these studies may reveal varying degrees of positive or negative E&S impacts on the surrounding environment and communities. The scale and significance of these impacts will largely depend on the size, scope, and location of individual projects. It is therefore critical to anticipate and integrate mitigation measures at each project phase—design/pre-construction, construction, and operation—to minimize potential adverse effects and enhance project sustainability.

8.4.1 Direct Impact

The Program encompasses multiple civil works and construction activities, each with potential E&S risks. While some impacts are common to all projects, others are project specific. Accordingly, the anticipated impacts can be classified into:

- a) Generic E&S impacts and mitigation measures, and
- b) Project- specific E&S impacts and mitigation.

The generic impacts and mitigation measures that are common to most activities (Projects) are discussed below *Table 10: Generic Impact and Mitigation Measures* whereas the project-specific impact and mitigation measures are discussed in *Table 11: Project Specific Impacts and Mitigation Measures*.

Anticipated **environmental risks and impacts** anticipated for this Program are:

- a) Sediment and erosion;
- b) Water quality;
- c) Dust, noise, and vibration;

¹⁹ Trade in cultural property is regulated by the Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property (1970).

- d) Disposal of hazardous materials and wastes;
- e) Domestic solid wastes;
- f) Potential impacts on flora and fauna;
- g) Potential impacts on protected forests and biodiversity; and
- h) Climate change.

Social risks and impacts anticipated for this Program are:

- a) Land acquisition, economic displacement and possible loss of access to properties;
- b) Risk for vulnerable groups if they are physically or economically displaced by the project;
- c) Risks relating to labour and working conditions including: i) unequal payment for the same job for female and male workers; ii) discrimination of women and/or vulnerable groups; iii) payment for unskilled workers below the minimum wage as per Government of India mandated minimum wage; iv) inadequate working facilities for workers including housing for government staff at the border posts, in particular lack of sanitation facilities for women; v) risks of child labour or indentured labour, especially in the supply chain. (vi) labour related disputes, (iv) SEA/SH (Sexual Exploitation and Abuse/Sexual Harassment) and VAC (Violence Against Children) and (vii) occupational health and safety (OHS) related issues such as inadequate personal protective equipment (PPE) and unsafe handling and disposal of asbestos containing material (ACM) at building renovation/demolition sites.
- d) Road safety and increase of heavy traffic (especially international long-haul trucks) during project operation but also related risks during construction;
- e) Temporary labour influx of workers, which might increase the risk of substance abuse;
- f) Increased risk of SEA/SH from workers (including in training/other activities) and their proximity to vulnerable groups, as well as opening up of the corridor;
- g) Increased risk of human trafficking from corridor connectivity;
- h) Impacts to ethnic groups due to their likely presence in the project area;
- i) Impacts to cultural and spiritual spaces;
- j) Risks of exclusion of ethnic or vulnerable farmers from the benefits of the agricultural programs;
- k) Risk of COVID19 transmission; and
- l) Risks in the supply chain (such as underage or forced labour).

Table 10: Generic Impact and Mitigation Measures

Project Phase	Potential risks/ impact	Mitigation Measures
Planning and Pre-Construction	<ul style="list-style-type: none"> • Locational impact due to site selection; • Buildings are susceptible to climate change impact 	<ul style="list-style-type: none"> • Avoid selection of site on steep slope, land subsidence, land slide prone areas, forest areas; • Planning for climate resilience sustainable infrastructure development, ensure energy efficient building design and compliance with Griha V2019 4STAR ratings.
Construction	<ul style="list-style-type: none"> • Loss of tree cover due to site clearance, habitat loss, impact on local ecology; • Impact on land use, topography, hydro geology; • Air and noise pollution during construction phase; • Soil erosion due to cut and fill activity, loss of productive soil; • Compaction and contamination of soil; • Contamination of water resource (ground and surface); • Increase of carbon footprint during material sourcing; • Construction waste disposal; • C&D and hazardous waste disposal; • Traffic congestion, inconvenience to local people; • Occupational 	<ul style="list-style-type: none"> • Ensure least number of tree felling, avoid felling of protected category of tree species. • Avoid large scale topographical changes, limit cut and fill activity in slope areas. • Cover material to avoid dust generation by wind, sprinkle water where necessary, cover or wet material during transportation. • Locate crusher plant away from school, health centre, settlement, and forest areas. • Use of face mask by workers while working in dust prone areas. • Limit noise level near school, health centre, settlement, and forest areas. • Use noise reduction devices on heavy equipment. Restrict time of construction. Provide ear plugs to workers working in high noise area. • Stockpile at safe area with drainage so as to avoid water pollution, recover topsoil for future use before using area for stockpiling. • Measures such as settling ponds, silt fences and screens to prevent sediment transport should be incorporated. • No new quarry site will be developed, material sourcing from local limit only, battery operated vehicles will give priority for material transportation. • Prepare site-specific Waste Management Plan for construction waste disposal; hazardous materials will be stored at safe areas under proper lining; oil and lubricants will be stored on impervious surface and properly disposed of. • Prepare Traffic Management Plan to minimize traffic congestion, inconvenience. • Prepare contractor site safety plan and EHS Plan to reduce occupational risk and safety hazard. • Ensure local employment, emphasize should be given to engage at least 50 percent-women employees, Prepare Gender Action Plan (GAP). • Ensure minimum displacement, ensure no project affected people (PAP) from tribal community, and prepare ResettlementActionPlans(RAP)and/orEthnicGroupsEngagementPlan(EGEP) as per requirement. • Assess temporary income loss of local people • Establish a Grievance Redress Mechanism (GRM) for the project compliance. • Ensure stakeholder consultation, information dissemination. Prepare Stakeholder Engagement Plan (SEP), • Facility should ensure accessibility to person with special needs; construction design should include gender aspects.

Project Phase	Potential risks/ impact	Mitigation Measures
	and community health hazard; <ul style="list-style-type: none"> • Migrant labour influx, conflict with local community. • Social risks related to the temporary and permanent displacement of project-affected people; • Sexual exploitation and abuse/sexual harassments risks during construction phase; • Building designs are inconvenient to physically challenged, women users; 	

Additionally, project wise E&S risk has been assessed for HPDRRPP Projects. To perform this assessment, each project’s potential impacts have been evaluated against Environmental Impact Effect Comparison Guide provided in Annexure 6 of the ESMF.

Table 11: Project Specific Impacts and Mitigation Measures

Project	Type of intervention	Pre-identified Potential Risks/ Impact	Mitigation Measures	Monitoring and Reporting	Timeline	Responsibility
Type 1. Disaster Mainstreaming & Knowledge Development Projects						
1.2, 1.3, 1.5, 1.6, 1.7, 1.8, 1.9	Enhancing disaster risk governance through capacity building, institutional development, risk understanding and knowledge management	<u>Study Phase</u> <ul style="list-style-type: none"> Non incorporation of E&S and climate change aspects in terms of involvement of local community, gender inclusion, etc. 	<ul style="list-style-type: none"> Stakeholder engagement Mechanism for inclusion of gender during implementation of study recommendations 	Sections on plans for stakeholder engagement and gender inclusion in the study reports Monthly progress reporting	During study period and prior to implementation	IAs and PMDC
Type 2. Resilience Building Projects						
2.1	Installation of GLOF sensors at water level and flood sensors	<u>Design Phase</u> <ul style="list-style-type: none"> Selected site susceptible to riverbank erosion, scouring and filling effect; <u>Construction Phase</u> <ul style="list-style-type: none"> Unsafe access to the site; Disposal of discarded equipment (if any); Safety risk in construction of tower, handling of electrical wiring; 	<u>Design Phase</u> <ul style="list-style-type: none"> Selecting site by avoiding riverbank erosion prone areas, steep curve alignment. Ensure community participation and gender mainstreaming, prepare Stakeholder Engagement Plan (SEP) and Gender Action Plan (GAP). <u>Construction Phase</u> <ul style="list-style-type: none"> No construction work at riverbed during monsoon time. Prepare construction waste management plan (CWMP) including hazardous waste management plan for disposal of discarded equipment. 	Screening report SEP and GAP CWMP	Design and planning phase Prior to construction Prior to construction	Preparation – PMDC with help of PIUs and IAs, Verification - PMU Preparation of CWMP – Contractor Verification – PMDC along with PIUs

Project	Type of intervention	Pre-identified Potential Risks/ Impact	Mitigation Measures	Monitoring and Reporting	Timeline	Responsibility
		<u>Operation Phase</u> <ul style="list-style-type: none"> Inadequate maintenance of access Inadequate outreach and community engagement; Exclusion of women participation. 	<u>Operation Phase</u> <ul style="list-style-type: none"> Prepare site safety plan to reduce occupational risk and safety hazard. Ensure periodic surveillance. 	Quarterly report to PEC and Bi- annual reporting to AFD after Site verification	During construction and operation phase	Preparation - IAs Verification – PIU and PMU
2.3	Expansion of the network of weather stations by establishing real-time observatories, automatic weather stations including rain gauges up to block level.	<u>Design Phase</u> <ul style="list-style-type: none"> Damage to weather sensors due to in-splashing, snow accumulation, thermal radiation effect; Low efficacy due to shading effect. <u>Construction Phase</u> <ul style="list-style-type: none"> Site safety issues to local community For other construction phase impact, refer Table 10 <u>Operation Phase</u> <ul style="list-style-type: none"> Inadequate outreach and community engagement; Exclusion of women participation. 	<u>Design Phase</u> <ul style="list-style-type: none"> Select site by considering availability of broader obstruction free areas. Check future development plan in the vicinity that may obstruct functioning of sensors. The area should be protected from thermal radiation, well ventilated, open to sky, above the level of in-splashing and/ or snow accumulation. <u>Construction Phase</u> <ul style="list-style-type: none"> Ensure site safety by wire fencing, boundary wall construction etc. <u>Operation Phase</u>	E&S Screening Report ESMP, SEP, GAP Site layout plan Site General Alignment drawing showing boundary Quarterly report to PEC and Bi- annual reporting to AFD after Site verification	In the DPR Prior to construction During construction and operation phase	PMDC and IA Contractor and PIU PIU and PMDC Preparation - IAs Verification – PIU and PMU

Project	Type of intervention	Pre-identified Potential Risks/ Impact	Mitigation Measures	Monitoring and Reporting	Timeline	Responsibility
			<ul style="list-style-type: none"> Ensure participation of local agricultural communities by structured coordination, prepare communication protocol as required. Ensure women participation. 			
Type 3. Disaster Response Capacity Building Projects						
1.1	Development of physical infrastructure for SDMA and 6 DDMA with Emergency Operation Centre (EOC) facility	For generic construction phase impact, refer <i>Table 10</i>	For generic construction phase mitigation measures refer <i>Table 10</i> .	E&S Screening Report ESMP/ RAP, SEP, GAP Monthly progress report	In the DPR During construction phase	PMDC and IA Contractor and PIU
1.4	Development of physical infrastructure for 'Himalayan Centre for Disaster Risk Reduction' at existing campus of Dr. Manmohan Singh Himachal Pradesh Institute of Public Administration (MS HIPA) or Any other suitable site			Quarterly report to PEC and Bi- annual reporting to AFD after Site verification	During construction and operation phase	Preparation - IAs Verification – PIU and PMU
2.6	Construction of infrastructure for 1 SDRF campus at Kangra along with construction of staff					

Project	Type of intervention	Pre-identified Potential Risks/ Impact	Mitigation Measures	Monitoring and Reporting	Timeline	Responsibility
	and officer's quarter, one helipad, one no. rescue tower (60 ft tall), area for training/ mock drill exercise etc.					
2.8	Improvement of physical infrastructure of one training centre for civil defence for strengthening of disaster response					
3.3	Development of one Technology Demonstration Units (TDUs) at existing engineering institute campus at Sunder Nagar, Mandi.					
2.4	Capacity augmentation of forest department by establishing fire crew station for rapid response and installation of fire sensors at strategic locations; establishment of wireless network through VHF radio communication	<p><u>Design Phase</u></p> <ul style="list-style-type: none"> Locational impact due to site selection of fire crew station <p><u>Construction Phase</u> For generic construction phase impact, refer Table 10.</p> <p><u>Operation Phase</u></p>	<p><u>Design Phase</u></p> <ul style="list-style-type: none"> Site selection by considering fire hazard prone areas, ecological sensitivity, proximity to habitat etc. Avoid cutting trees under protected category while selecting site for fire crew station. <p><u>Operation Phase</u></p> <ul style="list-style-type: none"> Fire strip clearance by 	<p>E&S Screening Report, ESMP, SEP, GAP</p> <p>Quarterly report to PEC and Bi- annual reporting to AFD after Site verification</p>	<p>In the DPR</p> <p>During construction and operation phase</p>	<p>PMDC and IA</p> <p>Preparation - IAs Verification – PIU and PMU</p>

Project	Type of intervention	Pre-identified Potential Risks/ Impact	Mitigation Measures	Monitoring and Reporting	Timeline	Responsibility
	system; improvement of moisture regime and spring shed development in highly vulnerable forest areas.	<ul style="list-style-type: none"> Occupational safety hazard during the vegetation clearance Risk of non-participation of community in fire management. Damage to sensor and fire crew station due to forest fire. Unavailability of water resource to mitigate the fire during dry season; Damage to tree cover, habitat and economic loss depending on time interval to respond and control forest fire 	<p>maintenance of fire line and control burning;</p> <ul style="list-style-type: none"> Assess soil degradation after establishing fire lines Maintenance of soil moisture by water sprinkling; Maintenance of water harvesting structure within the forest areas, especially for dry season; Awareness generation, IEC campaign; Ensure community participation; Restoration of affected areas by conversion into broad leaved canopy trees; Incentive based mechanism for community participation 			
2.5	Construction of five new fire station cum demonstration centres along with purchase of Fire Fighting equipment and emergency vehicles for three existing fire stations.	<p><u>Design Phase</u></p> <ul style="list-style-type: none"> Locational impact due to site selection; Unavailability of water resource to mitigate the fire incidence; Social risk due to permanent displacement for titleholders and non-titleholders. <p><u>Construction Phase</u></p>	<u>Design Phase</u>	<p>E&S Screening Report ESMP/ RAP, SEP, GAP</p> <p>Monthly progress report</p> <p>Quarterly report to PEC and Bi- annual reporting to AFD after Site verification</p>	<p>In the DPR</p> <p>During construction phase</p> <p>During construction and operation phase</p>	<p>PMDC and IA</p> <p>Contractor and PIU</p> <p>Preparation - IAs Verification – PIU and PMU</p>

Project	Type of intervention	Pre-identified Potential Risks/ Impact	Mitigation Measures	Monitoring and Reporting	Timeline	Responsibility
		<ul style="list-style-type: none"> Social risk due to temporary displacement for mobile vendors, informal businesses or kiosks. <p>For generic construction phase impact, refer Table 10.</p> <p><u>Operation Phase</u> Damage to human habitat and economic loss depending on time interval to respond and control of fire incidence.</p>	<ul style="list-style-type: none"> Site selection by considering fire hazard prone areas, habitat nearby to large industries, forest areas etc. Site selection by considering strategic location within the habitat areas. Ensure availability of water resource. Prepare Emergency Evacuation Plan, Site safety Management Plan, EHS Plan, Community participation Plan for construction and operation phase compliance. <p><u>Construction Phase</u> Implement RAP, prior to construction, if required.</p>			
2.7	Establishment of Helipads to enable emergency medical evacuation process (8 in forest land)	<p><u>Design Phase</u></p> <ul style="list-style-type: none"> Locational impact due to site selection; Social risk due to permanent displacement for titleholders and non-titleholders. <p><u>Construction Phase</u></p>	<u>Design Phase</u>	E&S Screening Report, ESIA & ESMP, RAP, EGEF/EGEP, SEP, GAP, LMP, BMP, CHMP	In the DPR	PMDC and IA

		<ul style="list-style-type: none"> • Loss of tree cover due to site clearance, habitat loss, impact on local ecology; • Social risk due to temporary displacement for mobile vendors, informal businesses or kiosks. • Permanent impact on land use, topography, hydro geology; <p><u>Operation Phase</u></p> <ul style="list-style-type: none"> • Safety hazard arising during helipad operation; • Noise and vibration impact arising from helipad operation; 	<ul style="list-style-type: none"> • Site selection by considering availability of broader obstruction free areas, preferably, square, circular or rectangular in shape, relatively flat land, by avoiding an area susceptible to land subsidence, erosion prone/land slide prone areas etc. • Avoid selection of forest land, ensure least number of tree felling. Avoid cutting trees under protected category in Himachal Pradesh • Avoid large scale topographical changes, limit cut and fill activity, maintain natural slope as much as possible. <p><u>Construction Phase</u></p> <ul style="list-style-type: none"> • Ensure appropriate compensatory afforestation in consultation with Forest Department • For generic construction phase mitigation measures refer <i>Table 10</i>. <p><u>Operation Phase</u></p> <ul style="list-style-type: none"> • Fencing/ barricading the area to 	<p>Compensatory afforestation plan, C-SEMP with WMP and TMP</p> <p>Quarterly report to PEC and Bi- annual reporting to AFD after Site verification</p>	<p>Prior to construction</p> <p>During construction and operation phase</p>	<p>Contractor and PIU</p> <p>Preparation - IAs Verification – PIU and PMU</p>
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Project	Type of intervention	Pre-identified Potential Risks/ Impact	Mitigation Measures	Monitoring and Reporting	Timeline	Responsibility
			ensure restriction of any kind of unauthorized entry, keep away the stray animals entering into perimeter of safety area; <ul style="list-style-type: none"> • Ensure adequate lighting arrangement and security; • Placement of at least one 12 Kg Powder (DCP) fire extinguisher available at landing site as per DGCA requirement; • Arrangement of smoke signal and flashlight; • Arrangement of first aid kit; • Ensure wearing of appropriate eye and hearing protective PPE; • Ensure security and fire safety arrangement at fuel storage area; • Ensure no storage of loose construction material/ debris and no smoke within a periphery of 100 ft. around helicopter take-off and landing zone; • Ensure safe access to passengers/ rescued people. 			
Type 4. Disaster Mitigation and Rehabilitation Projects						

Project	Type of intervention	Pre-identified Potential Risks/ Impact	Mitigation Measures	Monitoring and Reporting	Timeline	Responsibility
3.1	Protection/ treatment of landslide mitigation at highly vulnerable landslide-prone sites near critical infrastructure and habitation by slope stabilization and rock fall mitigation works, construction of box culvert, retaining wall and breast wall, wire crating, application of geo-textile materials and bio-engineering measures etc.	<p><u>Design & Planning Phase</u></p> <ul style="list-style-type: none"> • Temporary loss of access • Temporary loss of income; <p><u>Construction Phase</u></p> <ul style="list-style-type: none"> • Loss of tree cover during site clearance, Change in land use; • Soil erosion, loss of productive soil; • Compaction and contamination of soil due to vehicular movement; • Impact on downstream water bodies during site clearance activities; <p>For generic construction phase impact, refer Table 10.</p> <p><u>Operation Phase</u></p> <ul style="list-style-type: none"> • Recurrence of incidence due to structural failure 	<ul style="list-style-type: none"> • Prepare construction plan to minimize loss of access and avoid loss of income • Maintenance of natural slope as much as possible during design and construction; Avoid large scale topographical changes, limit cut and fill activity in slope areas. • Ensure least number of tree felling, applying bio-engineering measures wherever possible. <p>For generic construction phase mitigation measures refer Table 10.</p> <ul style="list-style-type: none"> • Compensatory framework and regulatory mechanism should be developed for defect liability period. • Regular checking of structural integrity. 	<p>E&S Screening Report ESMP/ RAP</p> <p>Quarterly report to PEC and Bi- annual reporting to AFD after Site verification</p>	<p>In the DPR</p> <p>During construction and operation phase</p>	<p>PMDC and IA</p> <p>Preparation - IAs Verification – PIU and PMU</p>

Project	Type of intervention	Pre-identified Potential Risks/ Impact	Mitigation Measures	Monitoring and Reporting	Timeline	Responsibility
3.2	Strengthening of forest nurseries for production and raising of bed and tall plants for protection of landslide prone areas and erosion prone stream bank for prevent of further erosion/ landslide; restoration of riparian and stream bank ecosystem	<p><u>Design & Planning Phase</u></p> <ul style="list-style-type: none"> • Locational impact due to site selection; <p><u>Construction Phase</u></p> <ul style="list-style-type: none"> • Change in land use; • Impact on drainage and hydrology; • Soil erosion, loss of productive soil; • Compaction and contamination of soil due to vehicular movement; • Contamination of water resource due to wash out of fertilizer, pesticides etc.; <p><u>Operation Phase</u></p> <ul style="list-style-type: none"> • Reoccurrence of landslide incidence due to low moisture content of the replanted vegetation, resulting uprooting of the bio-engineering measures. • Obstacles to wildlife movement due non-maintenance of forest nursery • Aesthetic impact due to non-maintenance of forest nurseary • Impact due to outbreak of diseases from forest nursery to surrounding local fauna. 	<ul style="list-style-type: none"> • Ensure maintenance of ecological balance while introduce bio-engineered species; • Maintenance of natural slope as much as possible during design and construction; • Avoid large scale topographical changes, limit cut and fill activity in slope areas. • Ensure least number of tree felling. • Preserve topsoil for future use. • Regular maintenance by mulching and pruning. • Maintenance of soil moisture content by drift irrigation, sprinkler etc.; • Ensure there is no occupational health hazard during developing bioengineering nurseries • Ensure involvement of community in the process. 	<p>E&S Screening Report ESMP/ RAP</p> <p>Quarterly report to PEC and Bi- annual reporting to AFD after Site verification</p>	<p>In the DPR</p> <p>During construction and operation phase</p>	<p>PMDC and IA</p> <p>Preparation - IAs Verification – PIU and PMU</p>

Project	Type of intervention	Pre-identified Potential Risks/ Impact	Mitigation Measures	Monitoring and Reporting	Timeline	Responsibility
		<ul style="list-style-type: none"> Risk of non-participation of community in nursery management. 				
3.4	Seismic retrofitting and upgradation of public buildings (schools and hospitals)	For generic construction phase impact, refer Table 10.	For generic construction phase mitigation measures refer Table 10.	Quarterly report to PEC and Bi- annual reporting to AFD after Site verification	During construction and operation phase	Preparation - IAs Verification – PIU and PMU

8.4.2 Indirect Impact

Indirect impacts are potentially amplified with climate hazards and the increased connectivity within the State with illegal trades of timber and wildlife products²⁰ from nearby forests/protected areas, community road safety risks, increased risk of human trafficking and incremental impacts on environmental characteristics. Downstream impacts arising from forecasting types of activities which may not result in any direct environmental risks and impacts but could have downstream environmental implications (e.g. impact on water quality from extensive use of agrochemicals due to improved agricultural trade, accelerated change of land use from forests to agricultural lands) should be anticipated and mitigated.

8.5 Gender Mainstreaming Strategy and Action Framework

The objective of the Gender Mainstreaming Strategy and Action Framework is to outline specific actions that will be taken within the Program to ensure that both men and women can equally participate in, and benefit from, the Program. Framework outlined under this Program for mainstreaming gender. Along with the Stakeholder Engagement Plan and Safeguard Management Plans these Gender Action Framework (GAF) and Gender Action Plans (GAP) are part of the Program's commitment to equitable benefits. Design criteria for various gender attributes are provided in *Annex 17: Gender Mainstreaming*.

The following Program priorities are being considered to achieve the Gender inclusive targets:

Priority Area 1: Governance

- a) Encourage all stakeholders to (i) nominate female experts to governance bodies and their working structures and (ii) increase the representation of women in committees and delegations.
- b) Include gender balance in the Terms of Reference of all constituent bodies, including their management and working structures.
- c) Implementing Agencies will strive for gender balance in their management and working structures.
- d) Program will ensure that the PMU oversees, advises on and contributes to the implementation of the Gender Action Plan.
- e) Each IA will have a gender equality focal point with specific terms of reference and work plans.
- f) Increasing the participation of women in the work of HPSDMA governance.

Priority Area 2: Awareness Creation and Capacity Development

²⁰Webinar on "Wildlife and its Conservation", Date: 2020-10-08 conducted by HP ENVIS Hub, HIMCOSTE

- a) Assistance to the female stakeholders, in raising awareness on disaster risk reduction unconscious gender bias in receiving communication and inclusive leadership.
- b) Strengthening the capacity of (i) rural women who are considered to be a major beneficiary, and (ii) urban women engaged in different governing bodies.
- c) Support to the constituent bodies in developing the leadership capacity of female professionals through Women's Leadership Workshops and other events.
- d) Introducing training modules on gender and its relationships with extreme events, natural and anthropogenic disasters and related hazardous environmental conditions to all genders in equal strength.

Priority Area 3: Operational Procedures

- a) Program will organize training and develop tools on gender mainstreaming during operation and maintenance (O&M).
- b) Program will ensure that all key data is gender dis-aggregated, including at the O&M level, or that there is a specific reason noted for not dis-aggregating.
- c) DMC will co-organize workshops on the gender-specific dimensions of DRR and resilience through PMU."
- d) DMC will develop tools and publications on the gendered impacts with the help of PMU.
- e) DMC will synthesize publications on the gendered impacts with the support of PMU.
- f) Regular interactive programs will be organized on gender equality and stakeholders will be introduced to the forums and events on the gender-specific dimensions.
- g) Implementing Bodies will identify strategies and mechanisms to integrate gender mainstreaming into service provision and have them implemented.

Table 12: Program Components and Gender Action Framework

Result Area/ Component 1: Enhancing disaster risk governance, through improved institutional capacities, risk understanding and knowledge management				
1.1: Strengthening of HPSDMA & DDMA, State EOC and District EOCs²¹				
Phase	Tasks for Gender Action (GEN+EGM)	Responsibility	Supporting Documents	Alignment with SDMP
Design & implementation	A) Preparation of supportive HR policy to ensure increase in women's participation in SDMA and DDMA up to 30 percent. ²² The urban baseline of women participating in the workforce in HP is around 15 percent. Preparation of Training Modules for training of women for EOCs at the B) State and district levels C) Design and Construction of Gender Sensitive workspace in SDMA and DDMA Buildings. D) Participation of women (at least 30 percent) in Exposure visits.	A) PMDC/ PMU & PIUs B) PMDC C) DPR Consultant D) PSC	i. Appropriate job descriptions for the new recruitment policy. ii. ToR for Training Modules iii. DP iv. List of participants	This Project is aligned with Sections 5.3 & 5.5 of SDMP.
1.2: Climate Change Vulnerability Assessment (CCVA) at Village Level for all river basins (hydro-meteorological hazards)²³				
Phase	Tasks for Gender Action (SGM)	Responsibility	Supporting Documents	Alignment with SDMP
Design	Collection of Gender disaggregated data for policy preparation. FGDs with women for CCVA. Training of the assessors for gender sensitive assessment procedure.	PMDC & PMU	TOR of assessment criteria, assessment tools, etc.	Section 2.11 of the SDMP
1.3: Strengthening of knowledge products related to climate change and dissemination. Developing extensive Information Education and Communication (IEC) & awareness material in local vernacular languages²⁴				
Phase	Tasks for Gender Action (GEN+EGM)	Responsibility	Supporting Documents	Alignment with SDMP

²¹ Baseline: State EOC has 8 EOC and 4 ERSS staff and each District EOC has 8 people on an average with minimal infrastructure. Technical and administrative staff strength at HPSDMA is 12 and at each DDMA is 2.

²² Meeting with the villagers at Kalpa Village, Kinnaur

²³ Baseline: CCVA completed in Sutlej and Beas at AR-4 level

²⁴ Baseline: 10 booklets developed/updated at various points of time are available on HPSDMA website. There is no structured mechanism for dissemination. Disaster related knowledge management is not institutionalized.

Design & Implementation	A) Preparation of guidelines for gender sensitive IEC materials. B) Oral dissemination of the knowledge products C) Dissemination through other channels appropriate for marginalized section of women.	A) PMDC B) IAs C) IAs	Guidelines, ToR, Presenting draft for field testing and final IEC materials for circulation.	Section 2.11 of SDMP
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1.4: Establishing the Himalayan Centre for Disaster Risk Reduction (HCDRR)

Phase	Tasks for Gender Action (EGM+SGE)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	A) Preparation of supportive HR policy to ensure increase in participation of women trainers in HCDRR, at least up to 30 percent. B) Develop specific gender-sensitive curricula to increase female workforce participation in disaster management at school/university level. ²⁵ C) Psycho-social counselling that helps in resilience building among women against disaster risk reduction. ²⁶ D) Include sessions on preparing for natural hazards. E) Implementation of gender-sensitive health behaviour change, and communication.	PMDC	ToR, Preparation of curriculum, Training modules for behavioural change.	Section 5.3 of SDMP.

Results-based Financing (RBF) Sub-component

1.5: Mainstreaming Climate Change and Disaster Risk Resilience in the State (DLI1)²⁷

Phase	Tasks for Gender Action (GEN+EGM)	Responsibility	Supporting Documents	Alignment with SDMP/SDG
Design & Implementation	A) Ensure minimum 30 percent of women's participation in the consultation meetings/FGDs, designed to achieve especially younger women need to get access and contribute.	PMU /PIUs	ToR, Recruitment Policy, Monitoring Reports by DMC and DDMA's	(SDG) 13-Climate Action as well as the SDMP

²⁵Meeting with Mahila Mandal at Mahila Mandal Bhavan Lahul-Spiti

²⁶information on contents of humanitarian charter, protection principles, core humanitarian standards; types of government response mechanisms; shelter & settlement management; family level disaster preparedness; child protection in emergency and the need to create child friendly space; biodiversity conservation & ecosystem services in sustainable DRR; water, sanitation & hygiene promotion; livelihood options; search & rescue drills; menstrual hygiene management; swimming classes; etc.

²⁷ Baseline: Policies and guidelines (for instance in flood prevention, landslide mitigation, dam safety) do not fully integrate disaster risk resilience and climate change aspects

1.6: Improvements to Disaster Risk Reduction (DRR) Framework in the State (DLI 2)²⁸				
Phase	Tasks for Gender Action (GEN+EGM)	Responsibility	Supporting Documents	Alignment with SAPCC/SDMP
Design & Implementation	<p>A) Ensure women’s participation in all stages like, update the HP Disaster Management and Relief Manual; to develop Knowledge repository for climate change and biodiversity management and to update DM plans of 12 district.</p> <p>B) Ensure gender inclusive approach to have more women in the ND management program who bear disproportionately negative impact.</p> <p>C) Need convergence with other state departments like agriculture/Tourism/urban Development/Water resources & Sanitation and non-government agencies which deal with climate change (CC) and CC induced disaster.</p>	PMDC & PMU	ToR and FGD guidelines. Monitoring will be done through MPR and QPR submitted by PIUs to PMU.	Aligned with SAPCC.
1.7: Mainstreaming Gender in Disaster Management (DLI3)²⁹				
Phase	Tasks for Gender Action (GEN+EGM)	Responsibility	Supporting Documents	Alignment with SDMP
Design	<p>A) Mapping to understand hindrances for Gender mainstreaming.</p> <p>B) FGDs and KII with different women groups in urban and rural set ups.</p> <p>C) Ensure 100 percent attendance of targeted women in the workshops by launching extensive campaigns (at least two in each district)</p>	<p>A) PMDC</p> <p>B) IAs</p> <p>C) IAs</p>	FGD Guidelines, KII formats, Government approvals.	SDG 5
1.8: Improving disaster responsiveness of the State's Public Finance Management (PFM) systems (DLI4)³⁰				
Phase	Tasks for Gender Action (SGE)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	A) Earmarking fund under GBS	PMU	Government Order	

²⁸ Baseline: The SDMP was last updated in 2020, DDMPs were last updated in 2017. HP Disaster Management and Relief Manual was last updated in 2012. Several climate change and biodiversity management studies have been conducted but there is no repository of findings and recommendations.

²⁹ Baseline: No guidance document on gender inclusivity in disaster management

³⁰ Baseline: Key elements of DRR are not integrated into PFM policies and practices.

1.9: Implementing technology solutions for effective disaster mitigation and response (DLIS)³¹				
Phase	Tasks for Gender Action (NGE)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	No Gender Action	NA	NA	NA
Result Area/ Component 2: Strengthening disaster preparedness, through effective early warning systems and better emergency response capacities.				
2.1: Developing EWS for landslide, flash floods, cloudbursts, GLOFs and Dam safety, Improving networks for flood forecasting + GIS-based Decision Support System³²				
Phase	Tasks for Gender Action (SGE)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	A) Establishing Micro-level gender disaggregated data. B) Separate trainings for particular marginalized sections of poor women. C) FGDs with poor women	PMU/PIUs	ToR for training materials	Section 5.4 of SDMP
2.2: Developing climate/weather related forecast for agriculture and horticulture				
Phase	Tasks for Gender Action (SGE)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	A) Gender based Dissemination strategy may help to increase effectiveness.	PMU	Guideline, Training Module & Schedule	Section 5.4 of SDMP
2.3: Enhancing Implementation of forest fire mitigation measures³³				
Phase	Tasks for Gender Action (EGM)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	A) Training of a group women as a local Wisdom Leader to increase awareness.	PMDC/PMU/PIU	Strategy document, Plan for dovetailing of this component with GAPS of other programs of the HPFD	Section 5.9 of SDMP
2.4: Creation of fire stations in unserved location for enhancing fire response with equipment and vehicles and strengthening of three existing fire stations for HAZMAT emergencies				
Phase	Tasks for Gender Action (SGE)	Responsibility	Supporting Documents	Alignment with SDMP

³¹ Baseline: Presently, IT solutions are not available for critical disaster management functions (except for water level monitoring by Dam Authority and CWC, and Weather forecast by IMD)

³² Baseline: EWS for landslide is being piloted. EWS for flood forecasting and dam safety need improvement. No EWS for GLOFs and earthquakes.

³³ Baseline: 743 forest fire lines and zero crew stations are in place.

Design & Implementation	A) Plan for recruiting at least 30 percent of beneficiary women from the locality in the construction works for the assignment. B) Training to selected women for this skill related to HAZMAT emergencies.	A) IA/ PIU B) IA/IU	Policy for recruitment, Training Plan for HAZMAT	Section 5.5 and Section 3.10 of SDMP.
2.5: Establishing SDRF campus(Kangra)³⁴				
Phase	Tasks for Gender Action (NGE)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	A) Suitable Gender responsive facility in the office establishment of the SDRF campus. B) Engagement of Women by at least 30 percent at suitable capacity in SDRF.	A) PMDC/PMU B) PMU/PMDC	Design document, recruitment policy. HR Engagement Records of SDRF will be submitted to PMU on a quarterly basis.	Section 5.4 of SDMP
2.6: Creation of Helipads³⁵				
Phase	Tasks for Gender Action (SGE)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	A) Plan for recruiting at least 30 percent local women in the construction works for the assignment.	PMDC	Policy for recruitment.	Section 5.13 of SDMP
2.7: Strengthening Training Facilities for Disaster Response³⁶				
Phase	Tasks for Gender Action (SGE)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	A) Training facility should be created and at least 30 percent women should be inducted as the construction labour. B) Girls should be specifically trained in First Aid, Search & Rescue operations. ³⁷	A) PMD B) PMDC	ToR, Training module. Civil Defence & Home Guard Department will submit Monthly Monitoring Report to DDMA's.	Section 5.9 of SDMP

³⁴ Baseline: State does not have a SDRF.

³⁵ Baseline: Average time to reach unserved locations is 8 to 10 hours.

³⁶ Baseline: Training conducted for a few hundred civil defence personnel. No facility for training civil volunteers. 0.2% of the State's population trained as volunteers for disaster response.

³⁷ Meeting with the Gram Panchayat Pradhan, Batseri GP, Kinnaur

Result Area/ Component 3: Supporting mitigation measures, including eco-DRR and nature-based solutions				
3.1: Landslide mitigation and slope stabilization of vulnerable landslide sites³⁸				
Phase	Tasks for Gender Action (EGM)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	A) Engagement of women labourers in the workforce. B) Saving lost working day for women as the measures will reduce vulnerability of women and they would be able to find extra earning possibilities after managing children & elderly.	A) PIU B) PIU	Policy document.	Section 3.7 of SDMP
3.2: Developing area-specific bioengineering nurseries				
Phase	Tasks for Gender Action (EGM)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	A) Plan for workshop on the positive impacts of bioengineering nurseries in landslide and earthquake mitigation. B) Plan for contracting women SHGs for bioengineering nurseries. C) Training of women SHG members for nursery maintenance, selection of species, seasonal variation, etc. ³⁹	A) PMDC B) PMDC C) PMDC	Guideline, ToR, Training Module. Proposal for Joint Action Plan by DMC & the HPFD to foster more inclusive role of women.	Section 3.7 of SDMP
3.3: Creating Climate Change & earthquake resistant Technology Demonstration Units (TDUs) at existing engineering institutes⁴⁰				
Phase	Tasks for Gender Action (SGE)	Responsibility	Supporting Documents	Alignment with SDMP
Design & Implementation	Participation of women by at least 30 percent in Dissemination Workshop in Engineering Colleges.	PMDC	ToR and Guideline	Section 3.5, 3.6, 3.8 and 3.10 of SDMP.
3.4: Implementing hazard resistant critical infrastructure				
Phase	Tasks for Gender Action (SGE)	Responsibility	Supporting Documents	Alignment with SDMP

³⁸ Baseline: 675 of the landslide prone sites are near critical infrastructure and habitations.

³⁹ Meeting with Mahila Mandal at Mahila Mandal Bhavan Lahul-Spiti

⁴⁰ Baseline: 30,000 buildings in Red Zone require special retrofitting out of the 30 lakh constructions.

<p>Design & Implementation</p>	<p>A) Plan for engaging at least 30 percent women & Girls in different categories like supervisor, Site Manager. Worker etc. in the construction works.</p> <p>B) Clear guidelines for the contractors for recruitment of women and girls.</p> <p>C) Plan for Dissemination Workshops at the districts to collect local information & wisdom of the local communities, especially women.</p>	<p>A) PMDC B) PMDC C) PMDC</p>	<p>ToR, Workshop Plan and guideline</p>	<p>Section 3.5 of SDMP.</p>
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8.6 Institutional Arrangements for Safeguards Monitoring

To adhere to the E&S safeguards, the ESMF has detailed out measures to supervise, monitor and evaluate the impact of projects on the E&S aspects. In order to carry out this, the PMU will have specific arrangements made at the state and district level. This includes appointment of an Environmental Social and Climate Change Safeguard Expert (ES&CC) for the entire Program period. The ES&CC Expert will be the focal person for ensuring safeguard compliance on E&S issues and Gender aspects as well as to help assist in grievance redressal mechanism (GRM).

Additionally, an Environment Specialist, Social and Gender Specialist and Climate Resilience Structure Specialist (Total 3 positions) will be positioned within the PMDC. The ES&CC Expert at the PMU, with the help of the experts at the PMDC, will support the PIUs to implement the provisions of this ESMF. At the field level, one staff of the DDMA will be designated as ES&CC officer and will ensure execution of the same through the implementing agencies.

In order to achieve the objectives of the ESMF and to ensure the safeguards compliance, an independent agency will be appointed for external monitoring of this ESMF. The concurrent internal E&S monitoring will be done as part of the regular monitoring by PMDC and IAs.

To ensure gender safeguards are maintained, the PEC shall assume the function of Gender M&E committee which would monitor and take decisions on necessary corrective actions to be taken in the project implementation process for which review meetings shall be held after receiving the quarterly report. At PIU, ES&CC officer under DDMA shall be the focal person to monitor and assess the gender situation at the local level and compiles the monthly report based on the project MIS and field observation. Ward facilitators and GP Mobilizers shall provide regular inputs to PIU for the purpose of monitoring.

8.7 Stakeholder Mapping and Common Grievance Redress Mechanism

The stakeholder consultation is an integral part of the project design/preparatory as well as implementation phase. The projects should support a participatory and consultative approach involving meaningful engagement with different stakeholders including indigenous population and vulnerable groups. The following primary stakeholders have been identified to comprehend the ownership details and general understanding about the project to achieve the Program Objectives in view of AFD's requirements.

1. HP State Disaster Management Authority
2. Department of Environment, Science and Technology
3. Department of Energy
4. AGiSAC-HIMCOSTE

5. Central Water Commission
6. Civil Defence and Home Guard Department
7. Himachal Pradesh Power Corporation Limited (HPPCL)
8. Bhakra Beas Management Board (BBMB)
9. Jal Shakti Vibhag (Department of Water Resource)
10. Department of Forest
11. Department of Tourism and Civil Aviation
12. Department of Rural Development
13. Public Works Department (Roads)
14. Department of Fire
15. District Disaster Management Authorities
16. District Deputy Commissioner
17. Department of Agriculture and Farmers Welfare
18. Department of Horticulture
19. State Inter-Agency Group Members
20. District Inter-Agency Group Members
21. Hospitals
22. Schools
23. Civil Society Organizations
24. Private sector
25. Panchayat & Panchayat Raj Institution members
26. Women's organizations
27. Community

8.7.1 Stakeholder Engagement Plan

A Stakeholder Engagement Plan (SEP) is required to provide all the stakeholders with timely, relevant, understandable and accessible information, and consult with them in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination and intimidation. The SEP should be clear and concise and focus on describing the project and identifying its stakeholders. It is key to identify what information will be in the public domain, in what languages, and where it will be located. It should explain the opportunities for public consultation, provide a deadline for comments, and explain how people will be notified of new information or opportunities for comments. It should explain how comments will be assessed and taken into account. It should also describe the project's grievance mechanism and how to access this mechanism. The SEP should also commit to releasing routine information on the project's E&S performance, including opportunities for consultation and how grievances will be managed. Guidelines to prepare project specific Stakeholder Engagement Plan based on World Bank template may be referred to⁴¹.

⁴¹[ESF-Guidance-Note-10-Stakeholder-Engagement-and-Information-Disclosure-English.pdf](#)

8.7.2 Grievance Redress Mechanism

A common Grievance Redress Mechanism (GRM) created by the PMU will address social, environmental, or any other project and/or project related grievances in consultation with the identified stakeholders. The campaign will ensure that all stakeholders/ PAP/ beneficiaries, in particular the poor, vulnerable, and others are made aware of grievance redress procedures and entitlements according to the project entitlement matrix⁴². A three tier GRM will be established at Gram Panchayat/Urban Local Body (ULB), PIU and State level respectively, monitored by the PMU. At each level, a Grievance Redress Cell (GRC) will be constituted.

Tier I: Gram Panchayat/Urban Local Body (ULB)

A grievance may be first registered at the GRC instituted at the Gram Panchayat/ULB level. The GRC, headed by the elected Pradhan of the Panchayat/ ULB Chairman, should meet once a week to address all the pending grievances. The Panchayat Secretary/ ULB Executive Officer will be the Convener. At this level the grievance should not be pending for more than 7 days. In case the grievance is not instantaneously solved, it can be taken to the next level.

Tier II: PIU

Headed by the head of the administrative unit, with the officer in charge as the convener, the GRC must address the grievance within 15 days. The PIU level GRC should meet twice in a month to address all the pending grievances.

Tier III: State

The chairman of the PSC will be the Chairman of State level GRC while the Program Director will be its Convener. The redress of the grievance should not be pending at this level for more than 15 days. The State level GRC should meet twice in a month to clear all the pending grievances.

Exhibit 5: Grievance Redress Mechanism below gives a diagrammatic representation of the Grievance Redress Mechanism process.

⁴² Project entitlement matrix will be developed by the EA as per prevalent laws of the land and in consultation with the AFD

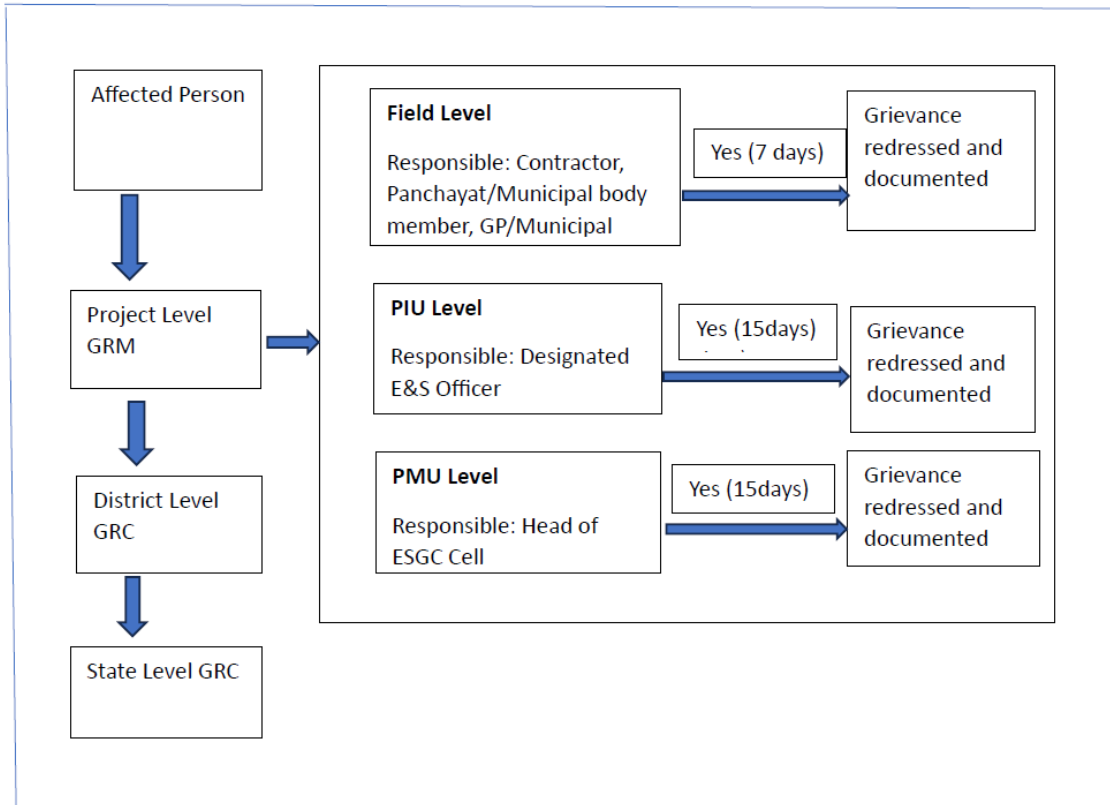


Exhibit 5: Grievance Redress Mechanism

8.7.3 Scope of the GRC

The GRCs will receive and redress all complaints and grievances that relate to the Project that are formally brought to the GRCs in writing only by the person and group of people who have a grievance because of the project’s adverse impact on him/her and them. The complaints/grievance could relate, among others, to: (1) access to project benefits such as financial assistance to house construction; (2) selection of site for cluster house relocation; (3) selection of sites of relocation of damaged Government buildings and social infrastructure such as schools, health centers that require relocation; (4) payment of compensation and resettlement assistance in accordance with social impact mitigation and eligibility criteria as set out in accordance with the Entitlement Matrix. Additional information related to the workings of the GRC and process to file grievances may be referred to in chapter 7 of the ESMF.

8.8 Documentation and Reporting

To develop individual projects, the following safeguard documents/plans may need to be developed as presented in *Table 13: Key E&S Safeguard Documents/ Plans and Template References*:

Table 13: Key E&S Safeguard Documents/ Plans and Template References

No.	Name of the Safeguard Document	Brief Description	Template/ Resource Reference
1.	E&S Screening Report	The objective of Environment and social screening is to identify the potentially significant environmental/ social issues related with a project at an early stage for detailed E&S impact assessment as per project categorization.	Annexure 4 of ESMF
2.	Environment and Social Impact Assessment (ESIA)	E&S impact assessment (ESIA) is an instrument to identify and assess the potential E&S impacts of a proposed project, evaluate alternatives, and design appropriate mitigation, management, and monitoring measures	https://thedocs.worldbank.org/en/doc/837721522762050108-0290022018/original/ESFFramework.pdf Page No. 39
3.	Environment and Social Management Plan (ESMP)	An ESMP consists of the set of mitigation, monitoring, and institutional measures to be taken during implementation and operation of a project to eliminate adverse E&S risks and impacts, offset them, or reduce them to acceptable levels. The ESMP also includes the measures and actions needed to implement these measures. The Borrower will (a) identify the set of responses to potentially adverse impacts; (b) determine requirements for ensuring that those responses are made effectively and in a timely manner; and (c) describe the means for meeting those requirements.	https://thedocs.worldbank.org/en/doc/837721522762050108-0290022018/original/ESFFramework.pdf Page No. 40
4.	Cumulative Impact Assessment (CIA)	In order to conduct an appropriate assessment and management of cumulative impacts and risks related to project, factors such as climate change and unpredictability of climate patterns, increasing and competing water use demands, decline of species biodiversity, degradation of ecosystem services, and changing socio-economic circumstances should be considered. Potential systemwide consequences resulting from the combination of individual effects of multiple actions overtime are particularly important for CIA.	https://www.ifc.org/content/dam/ifc/doc/mgrt/ifc-goodpracticehandbook-cumulativeimpactassessment.pdf
5.	Resettlement Action Plan (RAP)	The purpose of a resettlement action plan is to specify all resettlement arrangements and the measures for avoiding, minimizing or compensating losses or other negative social impacts resulting from resettlement. It establishes the basis for the agreement with the affected parties.	Annexure 7 of ESMF
6.	Stakeholder Engagement Plan (SEP)	A SEP provides stakeholders with timely, relevant, understandable and accessible information, and consult with them in a	https://pubdocs.worldbank.org/en/909361530209278896/ESF-Template-ESS10-SEP-June-2018.pdf

No.	Name of the Safeguard Document	Brief Description	Template/ Resource Reference
		culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination and intimidation.	

PMU will have overall responsibility for the preparation of the full ESIA and ESMPs, and any other document required (RAP or EGEPs for example), and all documents will need to be cleared by AFD, consulted on and publicly disclosed in local language (and Hindi) and included as part of bidding documents for civil works contractors. Contractors need to prepare site specific C-ESMP, based on the project ESMP. The departmental Nodal Agency would be in charge of implementation of the mitigation measures during construction while supervising engineer for implementing of monitoring plan. PMU with the help of the PMDC would therefore prepare the ESMP, EGEP, RAP, SEP, etc. (as per requirement) and should ensure inclusion of these documents as part of bid documents for construction contractor.

To ensure adherence to E&S safeguards, regular monitoring and reporting is essential for overall coordination and smooth implementation of the projects. The following forms of documentation are expected to be complied to:

- a) **Bi-Annual E&S Safeguard Monitoring Report:** Every six-months, a safeguard monitoring reports will be issued by the PIUs to AFD through the PMU. These reports will include:
- i. Status of project specific ESMP compliance;
 - ii. Action plan for corrective and preventive actions;
 - iii. Details of trainings conducted during last 6 months; and
 - iv. Compliance status of various loan covenants.

A tentative table of content of the bi-annual E&S safeguard monitoring report is given in the ESMF.

- b) **Quarterly Progress report (QPR):** It will be prepared by the PMU for capturing details on E&S performance of the project. Details will include implementation status of the following:
- i. E&S Commitment Plan (Program level)
 - ii. E&S Management Plan (ESMP/ RAP and LMP for Type 3 and 4 projects)
 - iii. Compliance to E&S statutory requirements (Refer Section 3.2 of the ESMF)
 - iv. Design modification or change in scope brought to AFD's notice
 - v. Assessment of changes and updating/addendum to ESIA/ESMP
 - vi. Site observations on Contractor's performance on Environmental Social Health and Safety (ESHS) and other plans in ESMP
 - vii. Summary of Stakeholder Engagement activities as stated in the ESMF.

- viii. Summary of Grievances received and redressed for each Project
 - ix. Status of E&S staffing within PMU (including PMDC) and other implementation agencies
 - x. Capacity building /training activities undertaken for different project functionaries during the reporting period.
 - xi. Corrective Actions and planned E&S activities for next quarter.
- c) **Monthly Report:** Monthly Progress report (MPR) will be prepared by contractors explaining the compliance status of the Project with the ESMP in their scope. Details will include status on:
- i. Contractor's ESMP implementation work plan and PMDC reviewed summary of implementation progress
 - ii. Implementation of Contractor's ESMP and related plans.
 - iii. Status of Compliance with E&S statutory requirements (including Consent to Establish (CTE), Consent to Operate (CTO) quarry permits (if applicable), labour licenses, insurance, etc.
 - iv. Status on actions indicated in the Labor Management as well as labour camp management Procedure.
 - v. ESHS incidents and supervision report.
 - vi. Usage of Personal Protective Equipment (PPE) among workers.
 - vii. Supporting documents/ photographs etc. for adopted site safety measures.
 - viii. Training conducted, and workers participation (submit reports with statistics of training and worker's participation).
 - ix. Functioning of GRM relating to labour aspects, including summary details of Workers grievances.
 - x. Community grievances record (if any).
 - xi. Temporary and permanent income loss if any
 - xii. Impact on special vulnerable group if any in intervention areas.
 - xiii. Relocation and Rehabilitation of the impacted families if any.
 - xiv. Corrective Actions and planned E&S activities for next month.
- d) **Gender Reporting:** At the PMU, a Safeguards Specialist and at the PMDC, a Gender Specialist shall ensure the gender action plan is being implemented. The following monitoring and evaluation mechanisms are to be adhered to as per the gender action plan:
- i. Monthly report of GAP submission by PIUs on prescribed format
 - ii. Quarterly progress report on prescribed format by PMU
 - iii. Preparation of GAP monitoring report by the Gender Specialist at PMDC.
 - iv. Bi-annual report on status of GAP, report to be prepared by Gender Specialist at PMDC.

- e) **Incident / Accident Reporting:** Any undesirable incident or accident related to the Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers has to be promptly notify to the PMU with sufficient details regarding that incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and if any information provided by any contractor and supervising entity, as appropriate will be submitted. Subsequently, as per the Bank's request, a report on the incident or accident and propose any measures to prevent its recurrence will be prepared.

9 Program Action Plan

9.1 Program Action Plan

Plan outlines the actions identified for mitigating key risks along with their responsibility, timing and completion measurement.

Table 14: Program Action Plan

Action	Responsibility	Timing	Completion Measurement
Technical			
Mobilize the Program Management and Design Consultancy	DMC	Within 6 months of Program commencement	Consultancy procurement completed and work order issued
Appoint IVA for RBF Sub-component of Component 1	DMC	Within 6 months of Program commencement	Consultancy procurement completed and work order issued
Implement a web-enabled Program Management System	DMC	Within 6 months of Program commencement	Web-enabled Program Management System implemented
Commission a mid-term evaluation at the commencement of the third year of the Program	DMC	3 rd year commencement	Mid-term evaluation report submitted
Commission an end-term evaluation/ Performance Audit in the last year of the Program	DMC	Last year	Performance Audit report submitted
Fiduciary			
Submit Annual Procurement Plan and updated Program Expenditure Framework	DMC	Annual	Submission
Usage of Standard Bidding Documents (SBD): Works-SBD of HPPWD, Goods-GeM and SBD of World Bank, Services including Consultancies-SBD of World Bank	Implementing Agencies	Continuous	Usage of SBDs
Undertake periodic training to Program IAs on Program implementation and Program financial management and procurement	DMC	Semi-annual	Training report
Environment & Social			
Avoid forest lands or acquire lands for which forest clearance has already been obtained	Implementing Agencies	Continuous	Exception approvals with justification for acquiring forest lands updated in Program Quarterly Progress Report (QPR)
For Projects like establishment of helipads that involve significant ecological footprint, locate these away (more than 10 km if ESZ is not defined, beyond ESZ if defined) from	Implementing Agencies	Continuous	Exception approvals with justification updated in Program QPR

Action	Responsibility	Timing	Completion Measurement
ecologically sensitive areas (e.g., national parks, wildlife sanctuaries)			
For construction projects, avoid land acquisition requiring development of Rehabilitation Action Plan	Implementing Agencies	Continuous	Exception approvals with justification updated in Program QPR
Avoid infringement on Indigenous people property	Implementing Agencies	Continuous	Exception approvals with justification updated in Program QPR
Inclusion of gender in the construction and implementation activities	Implementing Agencies	Continuous	Project specific sex-disaggregated data updated in Program QPR
Safeguard monitoring and reporting	DMC	Quarterly	Submission of Program QPR

Annexes

Annex 1: Program Results Chain

A. Program Goal:

“Increased disaster and climate resilience among State systems and local communities in Himachal Pradesh.”

B. Program Objective:

“To transition to a holistic disaster and climate risk reduction framework through resilient infrastructure and improved governance.”

C. Results Chain:

Activities	Baseline	Intermediate Results (IR)	IR Indicators	Outcomes	Outcome Indicators (OI)
Result Area/ Component 1: Enhancing disaster risk governance, through improved institutional capacities, risk understanding and knowledge management.					
1.1: Strengthening of HPSDMA & DDMA, State EOC and District EOCs	State EOC has 12 staffs including 4 from ERSS and each District EOC has 8 people on an average with minimal infrastructure. ⁴³ Technical and administrative staff strength at HPSDMA is 12 and at each DDMA is 2. ⁴⁴	State EOC and District EOCs are strengthened.	IR1: State EOC and District EOCs are staffed and well-equipped	Sustained institutional capacity is built in State EOC, District EOCs, HPSDMA, DDMA, and HCDRR.	OI1: State has created budget provision for continued operation of State and District EOCs, HPSDMA, DDMA, and HCDRR (in last

⁴³ Source: HPSDMA

⁴⁴ *ibid*

Activities	Baseline	Intermediate Results (IR)	IR Indicators	Outcomes	Outcome Indicators (OI)
1.2: Climate Change Vulnerability Assessment (CCVA) at Village Level for all river basins (hydro-meteorological hazards)	CCVA completed for Sutlej and Beas at AR-4 ⁴⁵ level. ⁴⁶	CCVA completed in all five river basins (Chenab, Ravi, Beas, Sutlej, and Yamuna).	IR2: CCVA reports prepared as per AR-5 and accepted		two FYs of the Program)
1.3: Strengthening of knowledge products related to climate change and dissemination. Developing extensive Information Education and Communication (IEC) & awareness material in local vernacular languages	10 booklets developed/updated at various points of time are available on HPSDMA website. ⁴⁷ There is no structured mechanism for dissemination. Disaster related knowledge management is not institutionalized.	HCDRR is established and operational.	IR3: HCDRR has run at least two batches of certificate courses and has imparted 250 person-days of training by end of the Program		
1.4 Establishing the Himalayan Centre for Disaster Risk Reduction (HCDRR)					
Results-based Financing (RBF) Sub-component					
1.5: Mainstreaming Climate Change and Disaster Risk Resilience in the State (DLI1)	Policies and guidelines (for instance in flood prevention, landslide mitigation, dam safety) do not fully integrate disaster risk resilience and climate change aspects.	Integrated climate action plans and disaster management plans for select sectors are in place.	IR4: Gram Panchayat Development Plan (GPDP) including climate action and disaster planning aspects is prepared and approved for Manikaran, Rangway&Palchan Gram Panchayats (DLI1Y2) IR5: Divisional and State Forest Fire Management Plans are prepared and approved (DLI1Y3)	Disaster Management Plans are updated by end of Program period.	OI2: State Disaster Management Plan updated and approved (DLI2Y4)

⁴⁵ 4th Assessment Report of the Intergovernmental Panel on Climate Change

⁴⁶ *ibid*

⁴⁷ Covering snow avalanche, cold wave, earthquake, fire, flood, lightning, road accident, locust attack, IEC material on Search and Rescue Operations, and Awareness Material.

Source : <https://hpsdma.nic.in/index1.aspx?sid=170&lev=2&lid=165&langid=1>

Activities	Baseline	Intermediate Results (IR)	IR Indicators	Outcomes	Outcome Indicators (OI)
			IR6: City Climate Action Plan (CCAP) is prepared and approved for Chamba (DLI1Y4)		
1.6: Improvements to Disaster Risk Reduction (DRR) Framework in the State (DLI 2)	The SDMP was last updated in 2020, DDMPs were last updated in 2017. HP Disaster Management and Relief Manual was last updated in 2012. Several climate change and biodiversity management studies have been conducted but there is no repository of findings and recommendations. ⁴⁸	Key policy documents related to disaster management are updated.	IR7: Updated HP Disaster Management and Relief Manual notified (DLI2Y2) IR8: Knowledge repository for climate change and biodiversity management developed (DLI2Y3) IR9: All 12 District Disaster Management Plans updated and approved (DLI2Y3)		
1.7: Mainstreaming Gender in Disaster Management (DLI3)	No guidance/ policy document on gender inclusivity in disaster management.	Policy document for mainstreaming gender is in place and disseminated.	IR10: Diagnostic study on hindrances in mainstreaming gender in disaster management completed and recommendations accepted (DLI3Y1) IR11: Guidelines for mainstreaming gender in disaster management issued (DLI3Y2) IR12: At least 10 workshops held across the State for dissemination of the Guidelines (DLI3Y4) IR13: Annual report prepared on inclusion of women in various departments of disaster management		

⁴⁸ Source: HPSDMA

Activities	Baseline	Intermediate Results (IR)	IR Indicators	Outcomes	Outcome Indicators (OI)
			(e.g., in HPSDMA, DDMA, HCDRR, SDRF, etc.) (DLI3Y5)		
1.8: Improving disaster-responsiveness of the State's Public Finance Management (PFM) systems (DLI4)	Key elements of DRR are not integrated into PFM policies and practices.	Key elements of DRR are introduced into the State's PFM architecture.	IR14: DRR-PFM diagnostic study completed, and recommendations accepted (DLI4Y1) IR15: At least two policy-level recommendations of the DRR-PFM diagnostic study implemented (DLI4Y3)	PFM systems are more responsive to disaster management needs of the State.	OI3: Emergency Procurement Guidelines notified (DLI4Y2)
1.9: Implementing technology solutions for effective disaster mitigation and response (DLI5)	Presently, IT solutions are not available for critical disaster management functions (except for water level monitoring by Dam Authority and CWC, and Weather forecast by IMD).	IT solutions are implemented for critical disaster management functions.	IR16: Functional and Software Requirement Specifications signed off for: - Disaster Management Plans Monitoring System (DMPMS) - Tourist/Pilgrim Management System - Spatially-integrated Hazard Vulnerability and Household Information System (DLI5Y2) IR17: DMPMS implemented (DLI5Y3) IR18: Tourist/Pilgrim Management System implemented (DLI5Y4) IR19: Spatially integrated Hazard Vulnerability and Household Information System implemented (DLI5Y5)	-	-
Result Area/ Component 2: Strengthening disaster preparedness, through effective early warning systems and better emergency response capacities.					
2.1: Developing Early Warning System (EWS) for landslide,	EWS for landslide is being piloted. EWS for flood		IR20: GIS based Decision Support System operational		OI4: 5-year moving average of annual

Activities	Baseline	Intermediate Results (IR)	IR Indicators	Outcomes	Outcome Indicators (OI)	
flash floods, cloudbursts, Glacial Lake Outburst Flooding (GLOF) and dam safety, Improving networks for flood forecasting & Geographical Information System (GIS)-based Decision Support System	forecasting and dam safety need improvement. No EWS for GLOFs and earthquakes.	EWS for different types of disasters established.		State of disaster preparedness has improved.	losses due to landslide, flash floods, and road accidents combined shows a declining trend over the Program period (from INR 1,907 crores for calendar years 2018 to 2022). ⁴⁹	
2.2: Developing climate/weather related forecast for agriculture and horticulture						
2.3: Enhancing Implementation of forest fire mitigation measures	743 forest fire lines and zero crew stations are in place. ⁵⁰	Forest fire management strengthened.	IR21: Fire cum emergency response stations established and equipped in 5 locations across the state			OI5: State has established or has prepared a blueprint and allotted budget for at least two more SDRF campuses (in addition to Kangra)
2.4: Creation of fire stations in unserved location for enhancing fire response with equipment and vehicles and strengthening of three existing fire stations for HAZMAT emergencies						
2.5: Establishing SDRF 1 campus(Kangra)	State does not have infrastructure for SDRF campus.	One campus of SDRF is operational.	IR22: SDRF campus established in Kangra with required manpower and equipment			OI6: Average time to reach unserved locations has decreased by 75%
2.6: Creation of Helipads	Average time to reach unserved locations is 8 to 10 hours. ⁵¹	Helipads constructed and operational.	IR23: Operational clearance obtained for helipads at 31 locations			OI7: 1% of the State's population

⁴⁹ Source: HPSDMA

⁵⁰ *ibid*

⁵¹ *ibid*

Activities	Baseline	Intermediate Results (IR)	IR Indicators	Outcomes	Outcome Indicators (OI)
	As of August 2022, there were 64 helipads in Himachal Pradesh.				trained as volunteers for disaster response
2.7: Strengthening Training for Disaster Response	Training conducted for a few hundred civil defence personnel. No permanent facility for training civil volunteers. 0.2% of the State's population trained as volunteers for disaster response. ⁵²	Training facilities constructed and operational.	IR24: Continuous trainings of Civil Defence volunteers		
Result Area/ Component 3: Supporting mitigation measures, including eco-DRR and nature-based solutions.					
3.1: Landslide mitigation and slope stabilization of vulnerable landslide sites	675 of the landslide prone sites are near critical infrastructure and habitations. ⁵³	Selected landslide-prone sites are mitigated by nature-based solutions like bioengineering.	IR25: 11 sites are mitigated for landslides and bioengineering field works initiated	Mitigation measures have reduced damage from landslide and earthquake.	OI8: No instances of further landslide in 5 of the 11 mitigated sites (in last two years of the Program)
3.2: Developing area-specific bioengineering nurseries					
3.3: Creating Climate Change & earthquake resistant Technology Demonstration Units (TDUs) at existing engineering institutes	30,000 buildings in Zones IV and V require special retrofitting. ⁵⁴	TDU is established.	IR26: TDUs are operational and are providing training to students, masons, builders etc.		
3.4: Implementing hazard-resistant critical infrastructure		Retrofitting of select buildings completed.	IR27: 40 selected buildings are retrofitted		

⁵² Source: HPSDMA. 15,000 volunteers trained compared to State population of 68.65 lakhs as per 2011 Census

⁵³ Source: HPSDMA

⁵⁴ *ibid*

D. Indicator Profile:**Profile of Outcome Indicators and Intermediate Indicator (Non-DLIs)**

Indicator	Baseline	Data Source	Achievement evidence/computation
Outcome indicators (OI)			
OI1: State has created budget provision for continued operation of State and District EOCs, HPSDMA, DDMA, and HCDRR (in last two FYs of the Program)	N/a	GoHP Budget	Budget provision is created for FY 2028-29 and 2029-30
OI2 & OI3 – DLIs	Covered in <i>Annex 10: Disbursement Linked Indicators and Verification Protocols for the RBF Sub-component of Component 1.</i>		
OI4: 5-year moving average of annual losses due to landslide, flash floods, and road accidents combined shows a declining trend over the Program period (from INR 1,907 crores for calendar years 2018 to 2022).	INR 1,907 crores for calendar years 2018 to 2022 (Source: HPSDMA)	Damage and Losses Reports submitted to NDMA	5-year moving average of losses in calendar years
OI5: State has established or has prepared a blueprint and allotted budget for at least two more SDRF campuses (in addition to Kangra)	No own infrastructure for SDRF campuses	Preliminary DPR and cost estimate, GoHP Budget	Budget provision is created for two more SDRF campuses as per cost estimates
OI6: Average time to reach unserved locations has decreased by 75%	Average time to reach unserved locations is 8 to 10 hours.	Baseline study will be done in the first year & study in last year of Program against existing budget line under Project 2.6	Study report findings
OI7: 1% of the State's population trained as volunteers for disaster response	0.2% of the State's population trained as volunteers for disaster response.	HPSDMA training records	Number of volunteers trained as a percent of state population as per latest census

Indicator	Baseline	Data Source	Achievement evidence/computation
O18: No instances of further landslide in 5 of the 11 mitigated sites (in last two years of the Program)	675 of the landslide prone sites are near critical infrastructure and habitations (Source: HPSDMA).	Incident reports received by HPSDMA from sites	Self-certification from HPSDMA for FY 2028-29 and 2029-30
Intermediate Result (IR) Indicators			
IR1: State EOC and District EOCs are staffed and well-equipped	State EOC has 12 staffs including 4 from ERSS ⁵⁵ and each District EOC has 8 people on an average with minimal infrastructure. Technical and administrative staff strength at HPSDMA is 12 and at each DDMA is 2.	DPR, Proposal and Completion Report and Staffing Report	Building construction work is complete; equipment is procured and commissioned; staff are recruited.
IR2: CCVA reports prepared as per AR-5 and accepted	CCVA completed for Sutlej and Beas at AR-4 level.	CCVA Reports	Official acceptance communication from HPSDMA
IR3: HCDRR has run at least two batches of certificate courses and has imparted 250 person-days of training by end of the Program	10 booklets developed/updated at various points of time are available on HPSDMA website. There is no structured mechanism for dissemination. Disaster related knowledge management is not institutionalized.	Training reports	Self-certification by HPSDMA supported by HCDRR training records
IR4 to IR19 – DLIs under the RBF Sub-component	Covered in <i>Annex 10: Disbursement Linked Indicators and Verification Protocols for the RBF Sub-component of Component 1</i>		
IR20: GIS based Decision Support System operational	EWS for landslide is being piloted. EWS for flood forecasting and dam safety need improvement. No EWS for GLOFs and earthquakes.	DPR, Commissioning Reports	Self-certification by HPSDMA supported by EWS and DSS Commissioning Reports
IR21: Fire cum emergency response stations established and equipped in 5 locations across the state	743 forest fire lines and zero crew stations are in place.	DPR, Completion Reports	Self-certification by HPSDMA supported by completion reports and photographic/GIS evidence

⁵⁵ Emergency Response Support System

Indicator	Baseline	Data Source	Achievement evidence/computation
IR22: SDRF campus established in Kangra with required manpower and equipment	No own infrastructure for SDRF campuses	Communication from State Home Department, Recruitment & Training Reports	Self-certification from HPSDMA supported by confirmation from state Home Department, recruitment and training reports and evidence of budget allocation for O&M
IR23: Operational clearance obtained for helipads at 31 locations	As of August 2022, there were 64 helipads in Himachal Pradesh	DPRs, Work Completion Reports, Operational Clearance Certificate from DGCA	Self-certification from HPPWD with GPS location and photographic evidence supported by work completion reports and DGCA clearances
IR24: Continuous trainings of Civil Defence volunteers	Training conducted for a few hundred civil defence personnel. No permanent facility for training civil volunteers.	DPRs, Work Completion Reports for strengthening training centres, training reports	Self-certification from HPSDMA supported by training records
IR25: 11 sites are mitigated for landslides and bioengineering field works initiated	675 of the landslide prone sites are near critical infrastructure and habitations.	DPRs, Work Completion Reports	Self-certification from HPPWD with GPS coordinates and photographic evidence supported by work completion reports
IR26: TDUs are operational and are providing training to students, masons, builders etc.	No TDUs	DPRs, Completion/Commissioning Reports, Training records	Self-certification by HPSDMA with GPS coordinates and photographic evidence supported by completion/commissioning reports and training reports
IR27: 40 selected buildings are retrofitted	30,000 buildings in Red Zone require special retrofitting (Source: HPSDMA)	DPRs, Work Completion Reports	Self-certification by HPPWD with GPS coordinates and photographic evidence supported by Work Completion Reports

Note: In addition to self-certification by HPSDMA/ Other Implementing Agencies of GoHP as evidence of achievement of the indicators, these will be validated through an independent mid-term and end-Program evaluation.

Annex 2: Format for Placing CER Request

I. Particulars of the Disaster				
a. Nature				
b. Date(s) of occurrence				
c. Location(s)				
d. Population/households affected (Numbers)				
e. Estimated Financial Loss (in INR Cr)				
II. CER Funding				
a. Total uncommitted funding available in the Program Expenditure Framework (INR Cr) <i>(Uncommitted funding refers to amounts for which contracts have not yet been entered into)</i>				
b. Undisbursed portion of AFD share of Program funding (INR Cr)				
c. Amount proposed to be availed under the CER Component (least of INR 10 Cr or point a or point b above) (INR Cr)				
d. Tentative breakdown of the proposed CER expenditure				
e. Whether the CER amount is sought in advance or as reimbursement?				
f. Proposed readjustment of allocation among other Components and Projects				
Project Number and Description	Original allocation in PEF (INR Cr)	Proposed reduction (INR Cr)	Revised allocation (INR Cr)	Justification
III. Remarks				
Prepared by:		Approved by:		
Date:		Date:		Date of Approval by PSC:

Annexes:

1. PSC Resolution dated _____
2. Proposed revised PEF
3. Supporting evidence
4. _____
5. _____

Annex 3: Multi-year Program Expenditure Framework

A. By Components & Activities

Program Components and Projects/Activities		Budget Line	Year Wise Allocation (EUR Mn)					Total Cost (EUR Mn)*	Total Cost (INR Cr)*	AFD Share of Funding	
			1	2	3	4	5			Percentage	Amount (EUR Mn)
Component 1: Enhancing disaster risk governance, through institutional capacities, risk understanding and knowledge management/dissemination											
1.1	Strengthening of HPSDMA & DDMA, state EOC and district EOCs	2245-07-101-01 SOON-V	0.29	4.27	2.37	0.04	-	6.96	61.94	77.1%	5.37
1.2	Climate Change Vulnerability Assessment (CCVA) at Village Level for all river basins (hydro-meteorological hazards)	2245-07-101-01 SOON-V	0.65	0.43	0.43	-	-	1.50	13.35		1.16
1.3	Strengthening of knowledge products related to climate change and dissemination. Developing extensive Information Education and Communication (IEC) & awareness material in local vernacular languages	2245-07-101-01 SOON-V	0.44	0.26	0.26	-	-	0.95	8.46		0.73
1.4	Establishing the Himalayan Centre for Disaster Risk Reduction	2245-07-101-01 SOON-V	0.08	1.22	0.78	0.95	0.22	3.25	28.93		2.51
			1.46	6.17	3.83	0.99	0.22	12.66	112.67		9.76
RBF Sub-component of Component 1											
1.5	Mainstreaming Climate Change and Disaster Risk Resilience in HP (DLI1)	2245-07-101-01 SOON-V	-	1.30	2.20	0.50	-	4.00	35.60	100%	4.00
1.6	Improvements to DRR Framework in the State (DLI2)	2245-07-101-01 SOON-V	-	0.50	0.50	1.00	0.50	2.50	22.25		2.50
1.7	Mainstreaming Gender in Disaster Risk Resilience in HP (DLI3)	2245-07-101-01 SOON-V	0.50	0.50	-	0.50	0.50	2.00	17.80		2.00
1.8	Disaster responsive PFM systems (DLI4)	2245-07-101-01 SOON-V	0.50	1.00	-	1.00	-	2.50	22.25		2.50
1.9	IT solutions for effective disaster mitigation and response (DLI5)	2245-07-101-01 SOON-V	-	1.00	0.50	0.50	2.00	4.00	35.60		4.00
			1.00	4.30	3.20	3.50	3.00	15.00	133.50		15.00
Total for Component 1			2.46	10.47	7.03	4.49	3.22	27.66	246.17	89.5%	24.76
Component 2: Strengthening disaster preparedness, through effective early warning system and better emergency response capacities											

Program Components and Projects/Activities		Budget Line	Year Wise Allocation (EUR Mn)					Total Cost (EUR Mn)*	Total Cost (INR Cr)*	AFD Share of Funding	
			1	2	3	4	5			Percentage	Amount (EUR Mn)
2.1	Developing EWS for landslide, flash floods, cloudbursts, GLOFs and Dam safety, Improving networks for flood forecasting + GIS-based Decision Support System	2245-07-101-01 SOON-V	2.36	3.65	3.64	2.72	1.14	13.50	120.15	77.1%	10.41
2.2	Developing climate/weather related forecast for agriculture and horticulture	2245-07-101-01 SOON-V	0.51	3.04	0.17	0.13	0.75	4.60	40.94		3.55
2.3	Enhancing Implementation of forest fire mitigation measures	2245-07-101-01 SOON-V	1.44	1.63	0.65	0.65	0.48	4.85	43.17		3.74
2.4	Creation of fire stations in unserved location for enhancing fire response with equipment and vehicles and strengthening of three existing fire stations for HAZMAT emergencies	2245-07-101-01 SOON-V	-	3.69	1.13	1.13	0.56	6.50	57.85		5.01
2.5	Establishing SDRF 1 campus (Kangra)	2245-07-101-01 SOON-V	0.79	3.90	5.60	2.30	-	12.59	112.05		9.71
2.6	Creation of Helipads	2245-07-101-01 SOON-V	1.59	0.56	0.16	0.09	0.10	2.50	22.25		1.93
2.7	Strengthening Training for Disaster Response	2245-07-101-01 SOON-V	0.01	0.56	0.22	0.31	0.04	1.14	10.15		0.88
Total for Component 2			6.70	17.03	11.56	7.33	3.07	45.68	406.55		35.22
Component 3: Supporting mitigation measures, including eco-DRR and nature-based solutions											
3.1	Landslide mitigation and slope stabilization of vulnerable landslide sites	2245-07-101-01 SOON-V	0.01	4.16	2.22	1.22	1.09	8.70	77.43	77.1%	6.71
3.2	Developing area-specific bioengineering nurseries	2245-07-101-01 SOON-V	0.34	0.95	0.81	0.82	0.46	3.38	30.08		2.61
3.3	Creating Climate Change & earthquake resistant Technology Demonstration Units (TDUs) at existing engineering institutes	2245-07-101-01 SOON-V	0.13	1.80	1.80	0.68	0.29	4.70	41.79		3.62
3.4	Implementing Hazard resistant critical infrastructure	2245-07-101-01 SOON-V	1.03	1.01	1.01	0.97	0.53	4.54	40.40		3.50
Total for Component 3			1.51	7.92	5.84	3.69	2.36	21.31	189.69		16.43
Total for three Components			10.67	35.41	24.43	15.51	8.64	94.65	842.42	80.7%	76.41

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Program Components and Projects/Activities		Budget Line	Year Wise Allocation (EUR Mn)					Total Cost (EUR Mn)*	Total Cost (INR Cr)*	AFD Share of Funding	
			1	2	3	4	5			Percentage	Amount (EUR Mn)
Program Management											
P1	Salaries (including salary of PD & Section Officer) & Remuneration for PMU	2245-07-101-01 SOON-V	0.16	0.16	0.17	0.18	0.19	0.86	7.69	100%	0.86
P2	Rent for PMU	2245-07-101-01 SOON-V	0.03	0.03	0.03	0.03	0.03	0.15	1.33		0.15
P3	Vehicle Expenses for PMU	2245-07-101-01 SOON-V	0.05	0.05	0.05	0.06	0.06	0.27	2.39		0.27
P4	Other Operating Costs for PMU	2245-07-101-01 SOON-V	0.07	0.08	0.08	0.09	0.09	0.41	3.65		0.41
P5	Salaries & Remuneration for PMDC	2245-07-101-01 SOON-V	0.33	0.35	0.37	0.38	0.40	1.84	16.34		1.84
P6	Rent for PMDC	2245-07-101-01 SOON-V	0.03	0.03	0.03	0.03	0.03	0.15	1.33		0.15
P7	Vehicle Expenses for PMDC	2245-07-101-01 SOON-V	0.05	0.05	0.05	0.06	0.06	0.27	2.39		0.27
P8	Other Operating Costs for PMDC	2245-07-101-01 SOON-V	0.03	0.03	0.03	0.04	0.04	0.17	1.53		0.17
P9	Software and Infrastructure	2245-07-101-01 SOON-V	0.17	-	-	-	-	0.17	1.50		0.17
P10	Setup Cost	2245-07-101-01 SOON-V	0.11	-	-	-	-	0.11	1.00		0.11
P11	Training & Capacity Building	2245-07-101-01 SOON-V	0.16	0.17	0.17	0.18	0.19	0.87	7.74		0.87
P12	IVA Cost for RBF Track	2245-07-101-01 SOON-V	0.02	0.02	0.02	0.02	0.02	0.08	0.75		0.08
Total Program Management Costs			1.20	0.96	1.01	1.06	1.11	5.35	47.62		5.35
CER Component		#	-	-	-	-	-	-	-	100%	-
Total Program Cost			11.87	36.38	25.44	16.57	9.75	100.00	890.00	81.75%	81.76

* Amounts are rounded to the nearest two decimal places

One or more of the Budget Lines indicated in Table B below

B. By Budget Lines

Budget Line	Year wise allocation (EUR Mn)*						Total
	1	2	3	4	5	Total	INR Cr*
2245 - Relief on account of Natural Calamities							
07 - Disaster Management							
101- Disaster Mitigation							
2245-07-101-							
DMC	1.45	7.08	5.17	1.69	0.81	16.19	144.13
DEST&CC	1.09	0.68	0.68	-	-	2.45	21.81
Himachal Pradesh Forest Department	1.78	2.58	1.46	1.47	0.94	8.23	73.25
Fire Services Department	-	3.69	1.13	1.13	0.56	6.50	57.85
Police (State Disaster Response Force - SDRF)	0.79	3.90	5.60	2.30	-	12.59	112.05
Dept. of Tourism and Civil Aviation	1.59	0.56	0.16	0.09	0.10	2.50	22.25
HPPWD	0.01	4.16	2.22	1.22	1.09	8.70	77.43
Jal Shakti Vibhag	2.36	3.65	3.64	2.72	1.14	13.50	120.15
Department of Horticulture	0.51	3.04	0.17	0.13	0.75	4.60	40.94
	9.58	29.33	20.22	10.74	5.39	75.26	669.85
80 - General							
001-Direction and Administration							
2245-07-101-01 SOON							
DMC	1.04	1.30	1.34	1.88	1.42	6.98	62.13
101-Centre for Training in disaster preparedness							
2245-80-101-xx							
DMC	0.24	1.39	0.90	1.14	0.41	4.12	36.66
Civil Defence & Home Guards Dept.	0.01	0.56	0.22	0.31	0.04	1.14	10.15
	1.29	3.24	2.51	3.32	1.87	12.24	108.94
800-Other Expenditure							
2245-80-800-xx							
DMC	1.00	3.80	2.70	2.50	2.50	12.50	111.25
	1.00	3.80	2.70	2.50	2.50	12.50	111.25

Budget Line	Year wise allocation (EUR Mn)*						Total
	1	2	3	4	5	Total	INR Cr*
01- Drought*							
102-Drinking Water Supply	-	-	-	-	-	-	-
02- Floods/Cyclones etc.*							
102-Drinking Water Supply	-	-	-	-	-	-	-
106-Repairs and restoration of damaged roads and bridges	-	-	-	-	-	-	-
109-Repairs and restoration of damaged water supply, drainage and sewerage works	-	-	-	-	-	-	-
06-Earthquakes*							-
102-Drinking Water Supply	-	-	-	-	-	-	-
106-Repairs and restoration of damaged roads and bridges	-	-	-	-	-	-	-
109-Repairs and restoration of damaged water supply, drainage and sewerage works	-	-	-	-	-	-	-
	-	-	-	-	-	-	-
Total	11.87	36.38	25.44	16.57	9.75	100.00	890.0

*Budget Lines earmarked for CER Component

* Amounts are rounded to the nearest two decimal places

C. By Expenditure Type

Program Components and Projects/Activities		Expenditure (by Type) (EUR Mn)*					Total Cost (INR Cr)*
		Goods & Equipment	Works	Services including Consultancies	Operating Costs	Total Cost	
Component 1: Enhancing disaster risk governance, through institutional capacities, risk understanding and knowledge management/ dissemination							
1.1	Strengthening of HPSDMA & DDMA, state EOC and district EOCs	-	6.76	0.20	-	6.96	61.94
1.2	Climate Change Vulnerability Assessment (CCVA) at Village Level for all river basins (hydro-meteorological hazards)	-	-	1.50	-	1.50	13.35
1.3	Strengthening of knowledge products related to climate change and dissemination. Developing extensive Information Education and Communication (IEC) & awareness material in local vernacular languages	-	-	0.95	-	0.95	8.46
1.4	Establishing the Himalayan Centre for Disaster Risk Reduction	-	2.67	0.58	-	3.25	28.93
		-	9.43	3.23	-	12.66	112.67
RBF Sub-component of Component 1							
1.5	Mainstreaming Climate Change and Disaster Risk Resilience in HP (DLI1)	-	-	4.00	-	4.00	35.60
1.6	Improvements to DRR Framework in the State (DLI2)	-	-	2.50	-	2.50	22.25
1.7	Mainstreaming Gender in Disaster Risk Resilience in HP (DLI3)	-	-	2.00	-	2.00	17.80
1.8	Disaster responsive PFM systems (DLI4)	-	-	2.50	-	2.50	22.25
1.9	IT solutions for effective disaster mitigation and response (DLI5)	-	-	4.00	-	4.00	35.60
		-	-	15.00	-	15.00	133.50
	Total for Component 1	-	9.43	18.23	-	27.66	246.17
Component 2: Strengthening disaster preparedness, through effective early warning system and better emergency response capacities							
2.1	Developing EWS for landslide, flash floods, cloudbursts, GLOFs and Dam safety, Improving networks for flood forecasting + GIS-based Decision Support System	6.54	-	6.96	-	13.50	120.15
2.2	Developing climate/weather related forecast for agriculture and horticulture	4.17	0.08	0.35	-	4.60	40.94
2.3	Enhancing Implementation of forest fire mitigation measures	0.71	3.38	0.76	-	4.85	43.17
2.4	Creation of fire stations in unserved location for enhancing fire response with equipment and vehicles and strengthening of three existing fire stations for HAZMAT emergencies	3.69	2.81	-	-	6.50	57.85
2.5	Establishing SDRF 1 Campus (Kangra)	0.24	12.17	0.18	-	12.59	112.05
2.6	Creation of Helipads	-	2.43	0.07	-	2.50	22.25

Program Components and Projects/Activities		Expenditure (by Type) (EUR Mn)*					Total Cost (INR Cr)*
		Goods & Equipment	Works	Services including Consultancies	Operating Costs	Total Cost	
2.7	Strengthening Training for Disaster Response	-	1.14	-	-	1.14	10.15
Total for Component 2		15.35	22.01	8.32	-	45.68	406.55
Component 3: Supporting mitigation measures, including eco-DRR and nature-based solutions							
3.1	Landslide mitigation and slope stabilization of vulnerable landslide sites	-	8.70	-	-	8.70	77.43
3.2	Developing area-specific bioengineering nurseries	-	3.38	-	-	3.38	30.08
3.3	Creating Climate Change & earthquake resistant Technology Demonstration Units (TDUs) at existing engineering institutes	0.40	3.40	0.90	-	4.70	41.79
3.4	Implementing Hazard resistant critical infrastructure	-	4.54	-	-	4.54	40.40
Total for Component 3		0.40	20.01	0.90	-	21.31	189.69
Total for three Components		15.75	51.45	27.45	-	94.65	842.42
Program Management							
P1	Salaries (including salary of PD & Section Officer) & Remuneration for PMU	-	-	0.66	0.21	0.86	7.69
P2	Rent for PMU	-	-	-	0.15	0.15	1.33
P3	Vehicle Expenses for PMU	-	-	0.27	-	0.27	2.39
P4	Other Operating Costs for PMU	-	-	-	0.41	0.41	3.65
P5	Salaries & Remuneration for PMDC	-	-	1.84	-	1.84	16.34
P6	Rent for PMDC	-	-	-	0.15	0.15	1.33
P7	Vehicle Expenses for PMDC	-	-	0.27	-	0.27	2.39
P8	Other Operating Costs for PMDC	-	-	-	0.17	0.17	1.53
P9	Software and Infrastructure	0.06	0.11	-	-	0.17	1.50
P10	Setup Cost	-	-	0.11	-	0.11	1.00
P11	Training & Capacity Building	-	-	0.87	-	0.87	7.74
P12	IVA Cost for RBF Track	-	-	0.08	-	0.08	0.75
Total Program Management Costs		0.06	0.11	4.09	1.09	5.35	47.62
CER Component							
Total Program Cost		15.81	51.57	31.54	1.09	100.00	890.0
% by Expenditure Type		16%	52%	31%	1%	100%	

* Amounts are rounded to the nearest two decimal places

Annex 4: Disbursement Claim Form**To:**

<<Details of Authorised Person in AFD>>

Program Name:Himachal Pradesh Disaster Risk Reduction and Preparedness Program**Program ID:** CIN 1149**Claim Period (semi-annual):**<<Insert Start Date>> to <<Insert End Date>>**Claim Reference Number:**<<Insert Reference Number>>**Summary of Disbursement Claim***(Amount in INR Cr unless specified otherwise)**(1 Euro = INR 89)*

Particulars	Reimbursement Track			RBF Track	Total
	Non-RBF (Projects 1.1 to 1.4, 2.1 to 2.7 & 3.1 to 3.4)	Project Mgmt. (P1 to P12)	CER	(Projects 1.5 to 1.9)	
Allocation in the latest approved Program Expenditure Framework (PEF)	708.92	47.62	10.00 OR 0.00	133.50	890.00
AFD financing percentage	77.1%	100%	100%	100%	
AFD share					
- in INR Cr	546.58	47.62	10.00 OR 0.00	133.50	727.70
- INR Euro Mn	61.41	5.35	1.12 OR 0.00	15.00	81.76
Disbursement claimed up to previous half year					
- Advance adjusted, if any					
- Disbursement received					
- Claims in process					
Total					
Amount claimed for disbursement in this claim					
- in INR Cr					
- INR Euro Mn					
Remaining unclaimed disbursement					

Schedule 1: Claim breakdown

Particulars	Reimbursement Track			RBF Track	Total
	Non-RBF (Projects 1.1 to 1.4, 2.1 to 2.7 & 3.1 to 3.4)	Project Mgmt. (P1 to P12)	CER	(Projects 1.5 to 1.9)	
Expenditure incurred up to previous half-year					
Expenditure incurred in the half year (See Schedule 2)					

Particulars	Reimbursement Track			RBF Track	Total
	Non-RBF (Projects 1.1 to 1.4, 2.1 to 2.7 & 3.1 to 3.4)	Project Mgmt. (P1 to P12)	CER	(Projects 1.5 to 1.9)	
Total expenditure incurred					
Ineligible expenditure, if any					
- Reported in annual audit					
- Disallowed by AFD					
- Others					
Total					
Eligible expenditure					
Eligible claim amount as per funding percentage					
Disbursement claimed until previous half year (till last claim)					
Of which					
- Advance adjusted, if any					
- Received					
- In progress					
Total					
Balance to be claimed					
Amount claimed for disbursement in this claim					
Remaining unclaimed funding					
Disbursement Claim - RBF Track					
Disbursement claimed until previous half year (last claim)					
Amount claimed for disbursement in this claim					
- DLI __ Year __					
- DLI __ Year __					
- DLI __ Year __					
Total					
Remaining unclaimed funding					

Schedule 2: Statement of Expenditure incurred during the half-year

Budget Heads	Project/Activity	Amount (in INR Cr)	Amount (in EUR Mn)
<<Budget Head 1>>	<<Project 1.1,1.2...>>		
<<Budget Head 2>>	<<Project 1.1,1.2...>>		
	Total		

Enclosures

1. Utilisation Certificates submitted by IAs to the DMC
2. Copies of IVA reports certifying achievement of DLIs under RBF track
3. HIMKOSH Expenditure Report by Budget Lines
4. PMS Expenditure Report by Components and Projects
5. Latest approved Program Expenditure Framework

Additional Notes/Comments**Certification**

We hereby certify that:

1. The expenditure incurred is in accordance with the Credit Facility Agreement and Program Agreement.
2. Necessary Utilization Certificates have been obtained from program Implementing Agencies and have been verified with HIMKOSH data.
3. The amount claimed pertains exclusively to eligible program activities.
4. All ineligible amounts reported by annual Program audit or declared ineligible by AFD are excluded/adjusted.
5. The reported expenditure amounts match / have been reconciled with the HIMKOSH data.
6. All supporting documents are maintained and available for audit.

Authorized Representative Signature:

Name:

Designation:

Date:

Annex 5: Disbursement Schedule

Program Components and Projects/Activities		AFD Funding (in EUR Mn)*				
		Year 1	Year 2	Year 3	Year 4	Year 5
Component 1: Enhancing disaster risk governance, through institutional capacities, risk understanding and knowledge management/dissemination						
1.1	Strengthening of HPSDMA & DDMA, state EOC and district EOCs	0.22	3.29	1.83	0.03	-
1.2	Climate Change Vulnerability Assessment (CCVA) at Village Level for all river basins (hydro-meteorological hazards)	0.50	0.33	0.33	-	-
1.3	Strengthening of knowledge products related to climate change and dissemination. Developing extensive Information Education and Communication (IEC) & awareness material in local vernacular languages	0.34	0.20	0.20	-	-
1.4	Establishing the Himalayan Centre for Disaster Risk Reduction	0.06	0.94	0.60	0.73	0.17
		1.12	4.76	2.95	0.76	0.17
RBF Sub-component of Component 1						
1.5	Mainstreaming Climate Change and Disaster Risk Resilience in HP	-	1.30	2.20	0.50	-
1.6	Improvements to DRR Framework in the State	-	0.50	0.50	1.00	0.50
1.7	Mainstreaming Gender in Disaster Risk Resilience in HP	0.50	0.50	-	0.50	0.50
1.8	Disaster responsive PFM systems	0.50	1.00	-	1.00	-
1.9	IT solutions for effective disaster mitigation and response	-	1.00	0.50	0.50	2.00
		1.00	4.30	3.20	3.50	3.00
Disbursements for Component 1		2.12	9.06	6.15	4.26	3.17
Component 2: Strengthening disaster preparedness, through effective early warning system and better emergency response capacities						
2.1	Developing EWS for landslide, flash floods, cloudbursts, GLOFs and Dam safety, Improving networks for flood forecasting + GIS-based Decision Support System	1.82	2.81	2.80	2.10	0.88
2.2	Developing climate/weather related forecast for agriculture and horticulture	0.39	2.34	0.13	0.10	0.58
2.3	Enhancing Implementation of forest fire mitigation measures	1.11	1.26	0.50	0.50	0.37
2.4	Creation of fire stations in unserved location for enhancing fire response with equipment and vehicles and strengthening of three existing fire stations for HAZMAT emergencies	-	2.84	0.87	0.87	0.43
2.5	Establishing SDRF 1 campus (Kangra)	0.61	3.01	4.32	1.77	-
2.6	Creation of Helipads	1.23	0.43	0.12	0.07	0.08

Program Components and Projects/Activities		AFD Funding (in EUR Mn)*				
		Year 1	Year 2	Year 3	Year 4	Year 5
2.7	Strengthening Training for Disaster Response	0.01	0.43	0.17	0.24	0.03
Disbursements for Component 2		5.17	13.13	8.91	5.65	2.36
Component 3: Supporting mitigation measures, including eco-DRR and nature-based solutions						
3.1	Landslide mitigation and slope stabilization of vulnerable landslide sites	0.01	3.21	1.71	0.94	0.84
3.2	Developing area-specific bioengineering nurseries	0.26	0.73	0.62	0.63	0.35
3.3	Creating Climate Change & earthquake resistant Technology Demonstration Units (TDUs) at existing engineering institutes	0.10	1.39	1.39	0.52	0.22
3.4	Implementing Hazard resistant critical infrastructure	0.79	0.78	0.77	0.75	0.40
Disbursements for Component 3		1.16	6.11	4.50	2.84	1.82
Program Management						
P1	Salaries (including salary of PD & Section Officer) & Remuneration for PMU	0.16	0.16	0.17	0.18	0.19
P2	Rent for PMU	0.03	0.03	0.03	0.03	0.03
P3	Vehicle Expenses for PMU	0.05	0.05	0.05	0.06	0.06
P4	Other Operating Costs for PMU	0.07	0.08	0.08	0.09	0.09
P5	Salaries & Remuneration for PMDC	0.33	0.35	0.37	0.38	0.40
P6	Rent for PMDC	0.03	0.03	0.03	0.03	0.03
P7	Vehicle Expenses for PMDC	0.05	0.05	0.05	0.06	0.06
P8	Other Operating Costs for PMDC	0.03	0.03	0.03	0.04	0.04
P9	Software and Infrastructure	0.17	-	-	-	-
P10	Setup Cost	0.11	-	-	-	-
P11	Training & Capacity Building	0.16	0.17	0.17	0.18	0.19
P12	IVA Cost for RBF Track	0.02	0.02	0.02	0.02	0.02
Disbursements for Program Management		1.20	0.96	1.01	1.06	1.11
CER Component						
Total Disbursements		9.65	29.25	20.58	13.82	8.46
Total Disbursements (in INR Cr)*		85.91	260.35	183.13	122.99	75.32

* Amounts are rounded to the nearest two decimal places

Annex 6: Responsibilities of the Program Management Unit and Program Management and Design Consultant

A. Responsibilities of the Program Management Unit (PMU) Consultant

The PMU's responsibilities will include, but are not limited to, the following:

- 1. Program Procurement Support**
 - i. Assisting DMC in procuring consultancy services, technology, goods and equipment, works or software, as required for the Program

- 2. Program Implementation Support**
 - i. Developing an action plan to achieve outcomes in consultation with PMDC.
 - ii. Enhancing the institutional capacity of DMC and DDMA to address the risks posed by an increasing number of disasters.
 - iii. Initiating the establishment of the Himalayan Centre for Disaster Risk Reduction.
 - iv. Strengthening knowledge products and knowledge producing capacities at different institutional level, related to climate change and promoting their use across departments. Incorporating gender mainstreaming into disaster management frameworks.
 - v. Improving the disaster responsiveness of State PFM system.
 - vi. Establishing EWS and forecasting methods for various types of disasters.
 - vii. Reviewing the design of disaster-responsive infrastructure.
 - viii. Advocating for nature-based solutions for disaster management.
 - ix. Helping HPSDMA to strengthen the State Disaster Response Force (SDRF).

- 3. Program Management & Monitoring Support**
 - i. Facilitating program management and inter-departmental coordination to create disaster risk responsive and hazard-resistant infrastructure.
 - ii. Increasing capabilities of DMC and DDMA staff by organizing trainings and awareness programs.
 - iii. Reviewing the quality assurance and control plans related to the Program in consultation with PMDC.
 - iv. Facilitating communication between HPSDMA and the PSC and PEC.
 - v. Ensuring complete and accurate capture of Program physical and financial information on the Program Management System (PMS) application⁵⁶.
 - vi. Maintaining the website for tracking and documentation of program activities.
 - vii. Approving monthly and quarterly progress reports prepared by PMDC.
 - viii. Maintaining proper documentation of the PMU activities and other related documents with the help of PMDC.
 - ix. Preparation of the final project completion report (PCR).

⁵⁶ Proposed to be implemented under the Program.

4. Program Financial Management Support

- i. Coordinating annual program budget preparation and liaising with the Finance Department for obtaining approvals.
- ii. Monitoring the Program Expenditure Framework and the annual Program budget and reporting on variances to the DMC. Undertaking revisions, as necessary, in consultations with DMC.
- iii. Periodically monitoring deposit works undertaken under the Program and reporting on long pending works/advances.
- iv. Verifying Program expenditure bills/vouchers with supporting documents (for expenditure undertaken by the DMC) and advising DMC on payment of the same including that of PMDC.
- v. Ensuring maintenance of necessary records with regard to Program receipts and expenditure and undertaking regular reconciliations, as may be necessary to ensure their accuracy.
- vi. Monitoring regularity and accuracy of utilization certificates and other Program financial reports received from Implementing Agencies.
- vii. Finalizing half-yearly disbursement claims and liaising with the GoHP Finance Department, DEA, and AFD for claim submission and disbursement. Follow up on actions on undisbursed amounts, if any, and including the same in subsequent disbursement claims.
- viii. Verifying and finalizing periodic Program financial reports for submission to higher authorities and AFD.
- ix. Finalizing Annual Program Financial Statements.
- x. Coordinating for completion of Program audits and compliance with audit queries.
- xi. Advising the DMC/GoHP officials and Implementing Agencies on all matters related to Program financial management including compliance with loan covenants.
- xii. Undertaking periodic training to DMC and Implementing Agency officials on Program financial management matters.

The PMU will also be responsible for monitoring activities under the RBF sub-component of Component 1 and coordinating with departments involved in executing it. Verification of results achievement will be the responsibility of an Independent Verification Agency - an institution or consultant hired under the Program. The PMU will be responsible for initiating the DLI verification cycle and coordinating with the IVA. The PMU will also review the IVA Reports and advise DMC on acceptance of the reports.

B. Responsibilities of the Program Management and Design Consultant (PMDC)

1. The PMDC is tasked with facilitating the timely implementation of the Program activities, providing necessary technical inputs to the Program Expenditure Framework and Disbursement-linked Indicator Framework as reports/analyses/documents as outlined in the Credit Financing Agreement, the Program document, Program Environment and Social Management Framework, and the Program Operations Manual, among other related tasks as directed by the HPSDMA/DMC/PMU.
2. The PMDC will be tasked with five core responsibilities:
 - i. Providing technical and management advice and inputs to the PMU and PIUs.
 - ii. Ensuring compliance with GoHP procurement policies and AFD requirements including safeguards, guidelines, requirements, and relevant government regulations.
 - iii. Monitoring progress of Program activities.
 - iv. Tracking of individual project level expenditures vis-à-vis allocated budgets.
 - v. Reporting on program status and outcomes.
3. The services to be provided by the PMDC will include, but not be limited to, the following:
 - i. Assisting the PMU in daily project management and coordination.
 - ii. Preparing, or supporting the preparation of Detailed Project Reports (DPRs) for projects during the first year and subsequent years, if required.
 - iii. Along with the PMU, supporting the PIUs in preparing tender documents including Terms of References (ToRs) and functional requirements/ detailed specifications for the procurement of works and goods for Program sub-projects/activities under the respective IAs, and ensuring that these adhere to the procurement guidelines prescribed in the Program Operations Manual.
 - iv. Reviewing project documents submitted by PIUs to ensure compliance with guidelines before submission to respective stakeholders, including the AFD.
 - v. Reviewing bid evaluation and vendor/consultant selection reports as prepared by the PIUs, before submission to DMC- HPSDMA.
 - vi. Preparing and maintaining the Project Master Schedule for overall Program implementation.
 - vii. Planning annual budget allocations based on project S-Curves, in accordance with the government's budgeting cycle.
 - viii. Preparing consolidated contract awards and expenditure projections.
 - ix. Monitoring progress of the respective project, including physical, financial, permits, project source of funds, and regularly updating the project costs.

- x. Supporting the PMU to ensure that the provision of funds from all financing sources are provided timely.
- xi. Maintaining the implementation of environmental and social management plan (ESMP) and supporting the development of updates of Initial Environmental Evaluations (IEE), including the ESMP, as required. Providing advice on any environmental safeguards' compliance issues related to the project implementation.
- xii. Ensuring that the gender action plan is implemented in the respective projects and preparing gender implementation reports.
- xiii. Preparing monthly and quarterly progress reports and bi-annual environmental safeguards monitoring reports.
- xiv. Organizing on-the-job training to PIU staff during all phases of the project, as directed by the PMU.
- xv. Supporting PMU in preparing and organizing meeting with PIUs, IAs and other stakeholders as needed.
- xvi. Providing technical support to PMU and PIUs for procurement, engineering, management, monitoring, and evaluation.
- xvii. Supporting PMU in preparing Program financial reports for monitoring and auditing purposes.
- xviii. Ensuring regular updating of physical and financial data on the Program Monitoring System (PMS) software⁵⁷.
- xix. Ensuring compliance of loan covenants and other conditions.
- xx. Assisting PMU in the preparation of final project completion reports (PCR).

⁵⁷ Proposed to be implemented under the Program.

Annex 7: Functionality Overview of the Program Management System (PMS)

The PMS is expected to provide the below functionalities.

A. Program Implementation Planning

- i. Creation of Program Components, Projects and Activities as per the approved Program structure.
- ii. Creation of sub-activities and detailed tasks within the overall Program structure above by the Implementing Agencies.
- iii. Setting timelines for activities, sub-activities and tasks and assigning tasks to officials responsible for completing them.
- iv. Capturing inter-task dependencies.
- v. Based on the above, preparation of Program Implementation Plans at Project, Component, Program and implementing agency level.
- vi. Implementation Plan revisions.

B. Activity Tracking

- i. Periodic updates of status against activities/tasks planned.
- ii. Uploading of document/ photographs/ other evidence including geo-tagging (where applicable) against status updates of activities and tasks.
- iii. Marking completion of activities/tasks and approvals for the same.
- iv. Tracking of compliance requirements such as E&S compliance, audit compliance etc.

C. Program Budgeting and Expenditure Tracking

- i. Creation of annual Program budget by implementing agencies and aggregation of budget at Project, Component and Program level.
- ii. Budget revisions.
- iii. Recording of Program expenditure against Projects and Budget Heads.
- iv. Tracking of submission, revision, and approval of utilization certificates from implementing agencies.
- v. Tracking of disbursement claims submitted by GoHP and disbursement received from AFD.
- vi. Capturing of audit details for each Program audit and maintenance of a repository of audit reports.

D. Document Management System

- i. Maintaining a basic document repository allowing uploading and organizing documents, defining and managing document access and edit rights, version control, and cross-referencing of documents in other modules of the PMS.

E. Monitoring and Evaluation

- i. Capturing the Program Results Framework along with annual targets.
- ii. Carrying out periodic updates to the Results Framework along with underlying evidence of achievement of results.

F. Reporting

- i. Progress status reports - overall, Component-wise, project wise, and by implementing agency.
- ii. Budget control reports.
- iii. Preparation of disbursement claims and Annual Program Financial Statements.
- iv. Generation of reports in the formats prescribed in the Program Operations Manual.

G. Others

- i. Basic workflow for approval of key Program activities and documents.
- ii. Recording details of Program reviews and other important meetings and uploading of minutes of meetings.
- iii. Alerts and notifications for key events such as task assignment, task completion, approvals etc.
- iv. Group messaging system for communication of Program updates, announcements, meeting notices, circulation of minutes etc.
- v. Data analytics capabilities to generate actionable insights and include Artificial Intelligence (AI)-based alerts and recommendations.
- vi. Resource Hub for hosting relevant reading and audio-visual material such as Program documents, best practice notes, success stories, study reports, technical guides.
- vii. Discussion Forum for knowledge exchange amongst Program personnel with basic functionalities like group messaging, tagging of conversations, search etc.

H. Administration and user management

- i. Creation of new users and user groups, assigning roles and privileges, user rights management.
- ii. Management of common spaces like the Discussion Forum, Resource Hub, Group Messaging etc.

Annex 8: Reporting Templates and Formats

A. Reporting by Implementing Agencies to the DMC

Government of Himachal Pradesh
Himachal Pradesh Disaster Risk Reduction and Preparedness Program
Monthly Report
 <<For the month of ____ >>

Name of the Implementing Agency:

Date of Submission:

1. Project Preparedness:

Project/Activity No: <<Project 1.1,1.2, ... >>

Contract Description	Estimated Cost as per PEF (in Rs. Lakhs)	Date of approval of DPR	Tender Notification Date	Contract Award Date	Contract Amount (in Rs. Lakhs)	Contractor/Agency Name	Date of Commencement	Present Status	Remarks
<<Name of work>>									
<<Name of work>>									

2. Project/Activity wise Physical Progress Report

SI No	List of Projects/Activities & Works	Contract Description	Date of Commencement	Proposed Date of Completion	Revised date of Completion (if any)	Present Status	Reasons for delay (if any)	Physical Progress (in %)
	<< ProjectNo. __>>							
	<<Name of the Work>>							
	<<Name of the Work>>							
	<<Name of the Work>>							
	<< ProjectNo. __>>							
	<<Name of the Work>>							
	<<Name of the Work>>							
	<<Name of the Work>>							

3. Project/Activity wise Financial Progress Report

(Amount in INR)

SI No	List of Projects/Activities & Works	Contract Description	Estimated Cost	Revised Estimated Cost	Contract Amount	Budget Allocation for current FY	Cumulative upto Previous Month	During the month	Cumulative upto Current Month	Balance estimated Expenditure upto completion	Remarks
	<< ProjectNo. __>>										
	<<Name of the Work>>										
	<<Name of the Work>>										
	<<Name of the Work>>										
	<< Project No. __ Total>>										
	<< ProjectNo. __>>										
	<<Name of the Work>>										
	<<Name of the Work>>										
	<<Name of the Work>>										
	<< Project No. __ Total>>										
	Grand Total										

B. Reporting by DMC to the PEC

**Government of Himachal Pradesh
Himachal Pradesh Disaster Risk Reduction and Preparedness Program
Quarterly Progress Report submitted by DMC to the PEC**

<<For the period from ____ to ____ >>

Date of Submission:

1. Project Preparedness:

Projects/Activities	Contract Description	Implementing Agency	Estimated Cost as per PEF (in Rs. Lakhs)	Date of approval of DPR	Tender Notification Date	Contract Award Date	Contract Amount (in INR Lakhs)	Contractor/Agency Name	Date of Commencement	Present Status	Remarks
Project 1.1	<<Name of work>>										
	<<Name of work>>										
	<<Name of work>>										
Project 1.2	<<Name of work>>										
	<<Name of work>>										
	<<Name of work>>										

2. Project/Activity wise Physical Progress Report

SI No	List of Projects/Activities & Works	Implementing Agency	Contract Description	Date of Commencement	Proposed Date of Completion	Revised date of Completion (if any)	Present Status	Reasons for delay (if any)	Physical Progress (in %)
	<< Project No. __>>								
	<<Name of the Work>>								
	<<Name of the Work>>								
	<<Name of the Work>>								
	<< Project No. __>>								
	<<Name of the Work>>								
	<<Name of the Work>>								
	<<Name of the Work>>								

3. Project/Activity wise Financial Progress Report

(Amount in INR)

SI No	List of Projects/Activities & Works	Implementing Agency	Contract Description	Estimated Cost	Revised Estimated Cost	Contract Amount	Budget Allocation for current FY	Cumulative upto Previous Month	During the month	Cumulative upto Current Month	Balance estimated Expenditure upto completion	Remarks	
	<< Project No. __>>												
	<<Name of the Work>>												
	<<Name of the Work>>												
	<<Name of the Work>>												
	<< Project No. __ Total>>												
	<< Project No. __>>												
	<<Name of the Work>>												
	<<Name of the Work>>												
	<<Name of the Work>>												
	<< Project No. __ Total>>												
	Grand Total												

Annex 9: Format of Semi-Annual Progress Report

Government of Himachal Pradesh
Himachal Pradesh Disaster Risk Reduction and Preparedness Program
Semi-annual Progress Report
<<For the period>>

A. Program Overview

<<A para or two on the overall Program status>>

B. Component-wise Program Status summary

<<Status and Issues in one to two sentences each in the table below>>

Part A: Project wise Status (non-RBF Components)

Physical Progress

List of Projects	Date of Commencement	Original Date of Completion	Revised date of completion (if applicable)	Percentage complete as on semi-annual period ending on ____	Remarks
Component 1: Enhancing disaster risk governance, through institutional capacities, risk understanding and knowledge management/dissemination					
1.1 Strengthening of HPSDMA & DDMA, state EOC and district EOCs					
1.2 Climate Change Vulnerability Assessment (CCVA) at Village Level for all river basins (hydro-meteorological hazards)					
1.3 Strengthening of knowledge products related to climate change and dissemination. Developing extensive Information Education and Communication (IEC) & awareness material in local vernacular languages					
1.4 Establishing the Himalayan Centre for Disaster Risk Reduction					
Component 2: Strengthening disaster preparedness, through effective early warning system and better emergency response capacities					
2.1 Developing EWS for landslide, flash floods, cloudbursts, GLOFs and Dam safety, Improving networks for flood forecasting + GIS-based Decision Support System					
2.2 Developing climate/weather related forecast for agriculture and horticulture					
2.3 Enhancing Implementation of forest fire mitigation measures					

List of Projects	Date of Commencement	Original Date of Completion	Revised date of completion (if applicable)	Percentage complete as on semi-annual period ending on ____	Remarks
2.4 Creation of fire stations in unserved location for enhancing fire response with equipment and vehicles and strengthening of three existing fire stations for HAZMAT emergencies					
2.5 Establishing SDRF 1 campus (Kangra)					
2.6 Creation of Helipads					
2.7 Strengthening Training for Disaster Response					
Component 3: Supporting mitigation measures, including eco-DRR and nature-based solutions					
3.1 Landslide mitigation and slope stabilization of vulnerable landslide sites					
3.2 Developing area-specific bioengineering nurseries					
3.3 Creating Climate Change & earthquake resistant Technology Demonstration Units (TDUs) at existing engineering institutes					
3.4 Implementing Hazard resistant critical infrastructure					

Part B: Activity wise Status (RBF Sub-component)**DLI Achievement Status**

DLI	Year 1	Year 2	Year 3	Year 4	Year 5
Activity 1.5 (DLI 1): Mainstreaming Climate Change and Disaster Risk Resilience in HP					
Target	-	Gram Panchayat Development Plan (GPDP) including climate action and disaster planning aspects is prepared and approved for Manikaran, Rangway & Palchan Gram Panchayats	Divisional and State Forest Fire Management Plan are prepared and approved	City Climate Action Plan (CCAP) is prepared and approved for Chamba	-
Status					
Issues					
Value (in EUR Mn)					
Activity 1.6 (DLI 2): Improvements to Disaster Risk Reduction (DRR) Framework in the State					
Target	-	Updated HP Disaster Management and Relief Manual notified	Knowledge repository for climate change and biodiversity management developed	All 12 District Disaster Management Plans updated and approved	State Disaster Management Plan updated and approved
Status					
Issues					
Value (in EUR Mn)					
Activity 1.7 (DLI 3): Mainstreaming Gender in Disaster Management					
Target	Diagnostic study on hindrances in mainstreaming gender in disaster management completed and recommendations accepted	Guidelines for Mainstreaming Gender in Disaster Management issued	-	At least 10 workshops held across the State for dissemination of the Guidelines	Annual report on the inclusion of women in disaster management related State entities (e.g., in HPSDMA, DDMA, HCDRR, SDRF, etc.)
Status					

DLI	Year 1	Year 2	Year 3	Year 4	Year 5
Issues					
Value (in EUR Mn)					
Activity 1.8 (DLI 4): Improving disaster-responsiveness of the State's Public Finance Management (PFM) systems					
Target	DRR-PFM diagnostic study completed, and recommendations accepted	Emergency Procurement Guidelines notified	-	At least two policy-level recommendations of the DRR-PFM diagnostic study implemented	-
Status					
Issues					
Value (in EUR Mn)					
Activity 1.9 (DLI 5): Implementing technology solutions for effective disaster mitigation and response					
Target	-	Functional and software Requirement Specifications signed off for: - Disaster Management Plans Monitoring System (DMPMS), -Tourist/Pilgrim Management System - Spatially-Integrated Hazard Vulnerability and Household Information System	DMPMS implemented	Tourist/Pilgrim Management System implemented	Spatially integrated Hazard Vulnerability and Household Information System implemented
Status					
Issues					
Value (in EUR Mn)					

C. Program Procurements

<<Status of procurements IA-wise >>

Implementing Agency	Name of the Work	Status of Procurements	Contract Value (INR in Lakhs)
IA 1	<<Name of work 1>>		
	<<Name of work 2>>		
IA 2	<<Name of work 1>>		
	<<Name of work 2>>		
IA 3	<<Name of work 1>>		
	<<Name of work 2>>		
Total			

D. Results Framework**Intermediate Results (IR) other than DLIs**

IR	IR Indicator	Baseline	Status	Issues
IR1	State EOC and District EOCs are staffed and well-equipped	State EOC has 12 staffs including 4 from ERSS and each District EOC has 8 people on an average with minimal infrastructure. Technical and administrative staff strength at HPSDMA is 12 and at each DDMA is 2		
IR2	CCVA reports prepared as per AR-5 and accepted	CCVA completed for Sutlej and Beas at AR-4 level.		
IR3	HCDRR has run at least two batches of certificate courses and has imparted 250 person-days of training by end of the Program	10 booklets developed/updated at various points of time are available on HPSDMA website. ⁵⁸ There is no structured mechanism for dissemination. Disaster related knowledge management is not institutionalized.		
IR20	GIS based Decision Support System operational	EWS for landslide is being piloted. EWS for flood forecasting and dam safety need improvement. No EWS for GLOFs and earthquakes.		
IR21	Fire cum emergency response stations established and equipped in 5 locations across the state	743 forest fire lines and zero crew stations are in place.		
IR22	SDRF campus established in Kangra with required manpower and equipment	State does not have infrastructure for SDRF campus.		
IR23	Operational clearance obtained for helipads at 31 locations	Average time to reach unserved locations is 8 to 10 hours.		
IR24	Continuous trainings of Civil Defence volunteers	Training conducted for a few hundred civil defence personnel. No permanent facility for training civil volunteers. 0.2% of the State's population trained as volunteers for disaster response.		
IR25	11 sites are mitigated for landslides and bioengineering field works initiated	675 of the landslide prone sites are near critical infrastructure and habitations.		

IR	IR Indicator	Baseline	Status	Issues
IR26	TDUs are operational and are providing training to students, masons, builders etc.	30,000 buildings in Red Zone require special retrofitting		
IR27	40 selected buildings are retrofitted	30,000 buildings in Red Zone require special retrofitting		

Outcome Indicators (OI) other than DLIs

OI	Outcome Indicator	Status	Issues
OI1	State has created budget provision for continued operation of State and District EOCs, HPSDMA, DDMA, and HCDRR (in last two FYs of the Program)		
OI4	5-year moving average of annual losses due to landslide, flash floods, and road accidents combined shows a declining trend over the Program period (from INR 1,907 crores for calendar years 2018 to 2022).		
OI5	State has established or has prepared a blueprint and allotted budget for at least two more SDRF campuses (in addition to Kangra)		
OI6	Average time to reach unserved locations has decreased by 75%		
OI7	1% of the State's population trained as volunteers for disaster response		
OI8	No instances of further landslide in 5 of the 11 mitigated sites (in last two years of the Program)		

E. Component wise Financial Progress

(Amount in EUR Mn)

List of Projects	Original Cost	Revised Cost (if any)	Expenditure since commencement upto beginning of the semi-annual period	Expenditure during the semi-annual period	Estimated Expenditure in the next semi-annual period	Balance Estimated Expenditure upto Completion
Component 1: Enhancing disaster risk governance, through institutional capacities, risk understanding and knowledge management/dissemination						
1.1 Strengthening of HPSDMA & DDMA's, state EOC and district EOCs						
1.2 Climate Change Vulnerability Assessment (CCVA) at Village Level for all river basins (hydro-meteorological hazards)						
1.3 Strengthening of knowledge products related to climate change and dissemination. Developing extensive Information Education and Communication (IEC) & awareness material in local vernacular languages						
1.4 Establishing the Himalayan Centre for Disaster Risk Reduction						
RBF Component 1B						
1.5 Mainstreaming Climate Change and Disaster Risk Resilience in HP						
1.6 Improvements to DRR Framework in the State						
1.7 Mainstreaming Gender in Disaster Risk Resilience in HP						
1.8 Disaster responsive PFM systems						
1.9 IT solutions for effective disaster mitigation and response						
Total of Component 1						
Component 2: Strengthening disaster preparedness, through effective early warning system and better emergency response capacities						
2.1 Developing EWS for landslide, flash floods, cloudbursts, GLOFs and Dam safety, Improving						

List of Projects	Original Cost	Revised Cost (if any)	Expenditure since commencement upto beginning of the semi-annual period	Expenditure during the semi-annual period	Estimated Expenditure in the next semi-annual period	Balance Estimated Expenditure upto Completion
networks for flood forecasting + GIS-based Decision Support System						
2.2 Developing climate/weather related forecast for agriculture and horticulture						
2.3 Enhancing Implementation of forest fire mitigation measures						
2.4 Creation of fire stations in unserved location for enhancing fire response with equipment and vehicles and strengthening of three existing fire stations for HAZMAT emergencies						
2.5 Establishing SDRF 1 campus (Kangra)						
2.6 Creation of Helipads						
2.7 Strengthening Training for Disaster Response						
Total of Component 2						
Component 3: Supporting mitigation measures, including eco-DRR and nature-based solutions						
3.1 Landslide mitigation and slope stabilization of vulnerable landslide sites						
3.2 Developing area-specific bioengineering nurseries						
3.3 Creating Climate Change & earthquake resistant Technology Demonstration Units (TDUs) at existing engineering institutes						
3.4 Implementing Hazard resistant critical infrastructure						
Total of Component 3						
Program Management						
P1. Salaries (including salary of PD & Section Officer) & Remuneration for PMU						
P2. Rent for PMU						

List of Projects	Original Cost	Revised Cost (if any)	Expenditure since commencement upto beginning of the semi-annual period	Expenditure during the semi-annual period	Estimated Expenditure in the next semi-annual period	Balance Estimated Expenditure upto Completion
P3. Vehicle Expenses for PMU						
P4. Other Operating Costs for PMU						
P5. Salaries & Remuneration for PMDC						
P6. Rent for PMDC						
P7. Vehicle Expenses for PMDC						
P8. Other Operating Costs for PMDC						
P9. Software and Infrastructure						
P10. Setup Cost						
P11. Training & Capacity Building						
P12. IVA Cost for RBF Track						
Total Program Management						
CER Component						
Grand Total						

F. Program Expenditure

<<Program expenditure department-wise by budget heads>>

(Amount in INR Lakhs)

Budget Heads	Budgeted for the period ended ____	Actuals for the period ____
<<Budget Head 1>>		
<<Budget Head 1>>		
Total		

G. Action Plan for next half-year

<<Summary of actions IA-wise >>

H. Remarks

I. Annexes

Annex 10: Disbursement Linked Indicators and Verification Protocols for the RBF Sub-component of Component 1

DLI 1	Mainstreaming Climate Change and Disaster Risk Resilience in the State	
Objective	To develop integrated climate action and disaster management plans in select sectors to limit and adapt to climate change (SDG 13)	
Data Source/Agency	DMC, Himachal Pradesh Forest Department, Panchayati Raj Department, Municipal Council Chamba	
Baseline	Policies and guidelines (for instance in flood prevention, landslide mitigation, dam safety) do not fully integrate disaster risk resilience and climate change aspects.	
Target	Verification Procedure	
Year 2 - Gram Panchayat Development Plan (GPDP) including climate action and disaster planning aspects is prepared and approved for Manikaran, Rangway&Palchan Gram Panchayats	<ul style="list-style-type: none"> • Obtain copy of resolution/order for approval of GPDPs. • Review the approved GPDPs to confirm inclusion of key elements: a) relevant gender & community engagement aspects, b) hazard risk, vulnerability and capacity analysis, c) institutional arrangements for disaster management, and d) disaster specific preventive and mitigation measures. 	
Year 3 – 3 Divisional and State Forest Fire Management Plan are prepared and approved	<ul style="list-style-type: none"> • Obtain copy of resolution/order for approval of Divisional and State Forest Fire Management Plans. • Review the Plans to confirm inclusion of a) an assessment of damages and impacts of forest fires, b) fire management strategies & plans with cost-benefit analysis, c) fire management practices, and d) capacities of stakeholders. 	
Year 4 - City Climate Action Plan (CCAP) for Chamba prepared and approved	<ul style="list-style-type: none"> • Obtain copy of resolution/order of Municipal Council for approval and adoption of CCAP. • Review the approved CCAP for inclusion of a) relevant gender & community engagement aspects, b) a framework for identifying and mainstreaming climate actions within city development plans, c) policies to reduce GHG emissions, and d) strategies to adopt low emission development trajectories and increase climate and disaster resilience. 	

DLI 2	Improvements to Disaster Risk Reduction (DRR) Framework in the State	
Objective	To update key policy documents governing disaster management in the State	
Data Source/Agency	DMC, DEST&CC	
Baseline	The SDMP was last updated in 2020, DDMPs were last updated in 2017. HP Disaster Management and Relief Manual was last updated in 2012. Several climate change and biodiversity management studies have been conducted but there is no repository of findings and recommendations.	
Target	Verification Procedure	
Year 2 - Updated HP Disaster Management and Relief Manual notified	<ul style="list-style-type: none"> Obtain copy of notification issuing the updated HP Disaster Management and Relief Manual. Review the updated Manual to confirm inclusion of gender aspects and Emergency Procurement Guidelines. 	
Year 3 - Development of knowledge repository for climate change and biodiversity management	<ul style="list-style-type: none"> Obtain self-declaration by DMC/DEST&CC of completion and launch of the knowledge repository. Undertake review of key documentation like the requirements documents, user guide etc. Undertake walkthrough of the knowledge repository. 	
Year 4 - All 12 District Disaster Management Plans updated and approved	<ul style="list-style-type: none"> Obtain copy of notification/order for approval of updated District and State Disaster Management Plans. Confirm that the approved Plans are available on the public domain. 	
Year 5 - State Disaster Management Plan updated and approved	<ul style="list-style-type: none"> Review the approved Disaster Management Plans for inclusion of a work plan to address requirements of the State Action Plan on Climate Change. 	

DLI 3	Mainstreaming Gender in Disaster Management	
Objective	To adopt gender sensitive policies and actions across the disaster management cycle	
Data Source/Agency	DMC, Women and Child Development Department, Education Department, and Administrative Reforms Department	
Baseline	No guidance/ policy document on gender inclusivity in disaster management.	
Target	Verification Procedure	
Year 1 - Diagnostic study on hindrances in mainstreaming gender in disaster management completed and recommendations accepted	<ul style="list-style-type: none"> • Obtain self-certification from GoHP stating the acceptance of recommendations made in the diagnostic study along with an action plan for implementation. • Review the Final Study Report. 	
Year 2 - Guidelines for mainstreaming gender in disaster management issued	<ul style="list-style-type: none"> • Obtain copy of notification/order issuing the Guidelines for Mainstreaming Gender in Disaster Management. • Review the approved Guidelines for inclusion of gender-inclusive assessments, gender design elements in strengthening disaster resilience, and in disaster recovery assistance. • Confirm availability of Guidelines on public domain. 	
Year 4 - At least 10 workshops held across the State for dissemination of the Guidelines	<ul style="list-style-type: none"> • Verify office circulars issued and attendance records of the Workshops. • Obtain a Workshop Completion Report from GoHP covering workshops' schedule, material used, attendance sheets, photographs and videos, and participant feedback summary. • Review the Workshop Completion Report to confirm a) at least 10 one-day workshops are held covering all districts of the State for dissemination of the Guidelines, and b) attendance includes government officials, local citizen groups, self-help groups, non-governmental organizations, and the general public as participants. 	
Year 5 - Annual report on the inclusion of women in disaster management related State entities (e.g., in HPSDMA, DDMA, HCRR, SDRF, etc.)	<ul style="list-style-type: none"> • Obtain copy of the annual report. • Review the Report for coverage of different function like planning and management (HPSDMA, DDMA), training (HCRR), response (SDRF), etc. 	

DLI 4	Improving disaster-responsiveness of the State's Public Finance Management (PFM) systems	
Objective	To strengthen the State's PFM architecture to enable enhanced disaster resilience	
Data Source/Agency	DMC, Finance, Planning	
Baseline	Key elements of DRR are not integrated into PFM policies and practices.	
Target	Verification Procedure	
Year 1 - DRR-PFM diagnostic study completed, and recommendations accepted	<ul style="list-style-type: none"> Obtain self-certification from DMC/FD stating the acceptance of recommendations made in the diagnostic study along with an action plan for implementation. Review the Final Study Report. 	
Year 2 - Emergency procurement guidelines notified	<ul style="list-style-type: none"> Obtain copy of notification/order issuing the Emergency Procurement Guidelines. Confirm availability of issued Guidelines on public domain. Review the approved Guidelines for coverage of a) underlying circumstances for emergency procurement, b) delegation of financial powers, c) procurement methods, d) relaxations from normal procurement procedures, and e) the related internal and audit controls. 	
Year 4 - At least two policy-level recommendations of the DRR-PFM diagnostic study implemented	<ul style="list-style-type: none"> Obtain copy of order/circular notifying two policy-level recommendations for implementation along with an action plan. Obtain self-certification from DMC/FD confirming implementation of the two recommendations. Verify related documentation (notifications/orders/circulars/letters etc.) to confirm implementation of the two selected policy recommendations. 	

DLI 5	Implementing technology solutions for effective disaster mitigation and response	
Objective	To improve responsiveness, efficiency, and effectiveness of disaster management capability in the State	
Data Source/Agency	DMC, Department of Tourism and Civil Aviation, HPFD, Department of IT	
Baseline	Presently, IT solutions are not available for critical disaster management functions (except for water level monitoring by Dam Authority and CWC, and Weather forecast by IMD).	
Target	Verification Procedure	
Year 2 - Functional and Software Requirement Specifications signed off for: <ul style="list-style-type: none"> • Disaster Management Plans Monitoring System (DMPMS), • Tourist/Pilgrim Management System, and • Spatially Integrated Hazard Vulnerability and Household Information System 	<ul style="list-style-type: none"> • Obtain self-certification/letter communicating the sign-off on Functional and Software Requirement Specifications submitted by the Vendor. • Verify related documentation for the three solutions including: a) Work orders and vendor contracts, b) Final requirements documents. 	
Year 3 - DMPMS implemented Year 4 - Tourist/Pilgrim Management System implemented	<ul style="list-style-type: none"> • Obtain copy of notification/order for implementation of the DMPMS. • Undertake walkthrough of software to ensure coverage of key functionalities as per signed-off functional requirements. • Review related documents like a) rollout plan, b) user acceptance test reports, c) application user manuals. • Interact with users to confirm usage. 	

Annex 11: Format of Utilisation Certificate

HIMACHAL PRADESH DISASTER RISK REDUCTION AND PREPAREDNESS PROGRAM

Utilisation Certificate of <<Implementing Agency>> under the AFD Program <<Project ID>> for the quarter ended _____

I. Expenditure breakdown by Projects

Amount in INR

Particulars	Amount			
	In Previous Quarter	In Current Quarter	Upto Current Quarter (Current FY)	Upto Current Quarter (since Program Inception)
	(1)	(2)	(3)	(4)
Unutilised allocation at the beginning of the period (A)				
Allocation received during the period (B)				
Expenditure under				
<<Project 1.1>>				
<<Name of the work>>				
<<Name of the work>>				
<i>Other Expenditure</i>				
Total Expenditure (C)				
Unutilised budgetary allocation surrendered (if any) during the period (D)				
Unutilised allocation at the end of the period (E) = (A + B – C – D)				

II. Expenditure breakdown by Procurement categories

(Amount in INR)

Name of the Work	Works	Services (including Consultancies)	Goods & Equipment	Operating Costs	Total
<< Project No. __>>					
<<Name of the Work>>					
<<Name of the Work>>					
<<Name of the Work>>					
<< Project No. Total>>					
<< Project No. __>>					
<<Name of the Work>>					
<<Name of the Work>>					
<<Name of the Work>>					
<< Project No. Total>>					
Grand Total					

III. Expenditure breakdown by Budget Heads

(Amount in INR)

Budget Head of Account	Previous Quarter	Current Quarter	FY upto the Current Quarter	Upto the Current Quarter (since Program inception)
	(1)	(2)	(3)	(4)
<<HoA 1>>				
<<HoA 2>>				
<<HoA 3>>				
Total				

IV. Enclosures

1. Supporting expenditure vouchers and bills
2. <<>>

Certified that the above information has been extracted from the relevant records and has been reconciled with HIMKOSH data and data on the PMS. The information is true to the best of my knowledge and belief.

Prepared By:

Name & Designation

Date:

Signature

Approved By:

Name & Designation

Date:

Signature

Annex 13: Format of Statement of Integrity

Appendix to Technical Proposal Submission Form - Statement of Integrity, Eligibility and Environmental and Social Responsibility

Reference name of the Bid/Proposal/Contract signed⁵⁹ _____ (the “Contract”)
To: _____ (the “Contracting Authority”)

1. We recognize and accept that Agence Française de Développement (“AFD”) only finances the projects of the Contracting Authority subject to its own conditions, as set out in the Financing Agreement that directly or indirectly binds it to the Contracting Authority. The Contracting Authority retains exclusive responsibility for the preparation and implementation of the procurement process and performance of the Contract. Consequently, no legal exists between AFD and our company, our joint venture, and our subcontractors. The Contracting Authority may also mean the Client, Employer or Purchaser, as the case may be, for the procurement of works, goods, plants, equipment, consulting services, or non-consulting services.
2. We hereby certify that neither we, nor any person acting on our behalf,⁶⁰ nor any of the members of our joint venture, nor any of our subcontractors, are in any of the following situations:
 - 2.1 Being bankrupt, wound up or ceasing our activities, having our activities administered by the courts, having entered into receivership, or being in any analogous situation arising from any similar procedure;
 - 2.2 Having been, within the past five years, subject to a final administrative sanction, a final conviction issued by a competent authority, or any other non-court resolution⁶¹ having notably an extinctive effect on public action, either (i) in the country where we are constituted, (ii) in the country of performance of the Contract, (iii) in the context of the procurement or performance of an AFD-financed Contract, (iv) pronounced by a European Union institution, or (v) pronounced by a competent authority in France, for:
 - a) Prohibited Practices, as defined in Article 6.1 below, or for any other offence committed in the context of the procurement or performance of a Contract (in the event of such sanction, conviction or non-court resolution, we may attach additional information to this Statement of Integrity, such as a compliance program, showing that we (or the person acting on our behalf, the member of our joint venture, or our subcontractor) consider that this sanction, judgement

⁵⁹ In the case of a Contract already signed to be refinanced.

⁶⁰ Directors, (including any person who is a member of the administrative management or supervisory body, or with powers of representation, decision or control), employees, or agents (be them declared or not).

⁶¹ Including the Judicial Public Interest Agreement (CJIP), a decision following an Appearance on Prior Recognition of Guilt (CPRC), a negotiated resolution agreement, or any other similar form of transaction terminating criminal proceedings.

- or non-court resolution is not relevant in the context of the Contract, where applicable);
- b) Participation in a criminal organization, terrorist offences or offences related to terrorist activities, child labour, or other offences related to human trafficking;
 - c) Having created an entity in a different jurisdiction (i) with the intention of avoiding tax or social obligations, or any other legal obligation applicable in the jurisdiction of its registered office, central administration or principal place of business, or (ii) for being an entity created with the intention of avoiding such obligations;
- 2.3 Having been subject within the past five years to a Contract termination fully settled against us for significant or persistent breach of our contractual obligations during the performance of the Contract, unless this termination was challenged and dispute resolution is still pending or has not confirmed a full settlement against us;
- 2.4 Having been declared ineligible by one of the multilateral development banks signatories to the Mutual Recognition Agreement of 9 April 2010⁶²(in the event of such ineligibility, we may attach additional information to this Statement of Integrity showing that we consider that such ineligibility is not relevant in the context of the Contract, where applicable);
- 2.5 Not having fulfilled our fiscal obligations relating to the payments of our taxes or social contributions in accordance with the legal provisions of our country of incorporation or of the country of the Contracting Authority;
- 2.6 Having created falsified documents or committed misrepresentation when providing the information requested by the Contracting Authority in the context of the procurement and award process for this Contract.
3. We hereby certify that neither we, nor any party acting on our behalf⁶³, nor any members of our joint venture, , , nor any of our subcontractors, nor any of our direct or indirect shareholders, nor any of our subsidiaries acting with our knowledge or consent:
- a) Are directly or indirectly subject to, controlled by a person or an entity subject to, or acting in the name or on behalf of a person or entity subject to **individual sanctions measures** adopted by the United Nations, the European Union and/or France;
 - b) Are directly or indirectly subject to, controlled by a person or an entity subject to, or acting in the name or on behalf of a person or entity subject to **sectoral sanctions measures** adopted by the United Nations, the European Union and/or France;

⁶² World Bank, Inter-American Development Bank, African Development Bank, Asian Development Bank, and European Bank for Reconstruction and Development.

⁶³ Directors, (including any person who is a member of the administrative management or supervisory body, or with powers of representation, decision or control), employees or agents (be them declared or not).

- c) Are ineligible for the implementation of the Project owing to any other international sanctions measures pronounced by the United Nations, the European Union or France.
4. We hereby certify that neither we, nor any party acting on our behalf,² nor any of the members of our joint venture, nor any of our subcontractors, are [nor have been (*in the case of refinancing for a Contract already awarded*)] in any of the following situations of conflict of interest:
- 4.1 Being a shareholder controlling the Contracting Authority or a subsidiary controlled by the Contracting Authority, unless the resulting conflict of interest has been brought to the attention of AFD and resolved to its satisfaction.
 - 4.2 Having business or family relations with a member of the Contracting Authority's services involved in the procurement process or the supervision of the resulting Contract, unless the resulting conflict of interest has been brought to the attention of AFD and resolved to its satisfaction;
 - 4.3 Controlling or being controlled by another applicant, bidder or consultant, or being under common with another applicant, bidder or consultant, receiving subsidies from another applicant, bidder or consultant, or granting subsidies to another applicant, bidder or consultant, directly or indirectly, having the same legal representative as another applicant, bidder or consultant, maintaining direct or indirect contacts with another applicant, bidder or consultant allowing us to (i) have given and/or give access to information contained in our respective applications, bids or proposals likely to distort competition (ii) influence them, or (iii) influence the decisions of the Contracting Authority;
 - 4.4 Being engaged for a consulting services mission which, by its nature, is or may be in conflict with the mission envisaged for the Contracting Authority;
 - 4.5 Having prepared ourselves, being or having been associated with a natural or legal person who has prepared, specifications, terms of reference or other documents that have been used for the procurement process in question, and that contain provisions likely to Favor an application, bid or proposal;
 - 4.6 Having or having had access to, having prepared ourselves, being or having been associated with a natural or legal person who has or has had access to or prepared, specifications, plans, calculations, studies, or other documents that have not been communicated to all the applicants, bidders or consultants in the context of the present procurement procedure, and which thereby confer us an unfair competitive advantage;
 - 4.7 In the case of a procurement procedure for works, plants, equipment or goods, having been selected ourselves or proposed to be selected (or any of our subsidiary companies having been or being proposed to be selected) to carry out supervision or inspection of the services in the context of this Contract.

5. If we are a state-owned entity or a public enterprise, to participate in a competitive procurement process, we certify that we have legal and financial autonomy and that we operate under commercial laws and regulations.
6. In the context of the procurement and performance of the Contract:
 - 6.1 Neither we, nor any party acting on our behalf,² nor any members of our joint venture, nor any of our subcontractors, have committed or shall commit a Prohibited Practice as defined in the document entitled “AFD Group’s Policy to Prevent and Combat Prohibited Practices” available on AFD’s Website.⁶⁴<https://www.afd.fr/fr>
 - 6.2 Neither we, nor or any party acting on our behalf,² nor any members of our joint venture, nor any of our subcontractors, shall acquire or provide [have acquired or provided (*in the case of refinancing for a Contract already awarded*)] in sectors subject to an embargo by the United Nations, the European Union or France.
7. We hereby undertake to, and we undertake to ensure that any party acting on our behalf,² any members of our joint venture, and any of our subcontractors undertake to:
 - 7.1 Comply with the environmental standards recognized by the international community, including the international conventions for the protection of the environment and, in particular, take all reasonable steps to avoid or limit negative effects on vegetation, biodiversity, soils, groundwater and surface water, and on persons and property resulting from pollution, noise, vibration, traffic and other effects resulting from our activities, in accordance with the laws and regulations applicable in the country of performance of the Contract.
 - 7.2 Implement measures to mitigate environmental and social risks when they are indicated in the environmental and social management plan provided by the Contracting Authority, and ensure that the emissions, surface discharge and effluents produced by our activities respect the limits, specifications or requirements applicable to the Contract.
 - 7.3 Respect the rights of workers related to wages, working hours, rest periods and vacations, overtime, minimum age, regular payments, compensation and benefits, in accordance with the standards recognized by the international community, including the fundamental conventions of the International Labour Organization (ILO), in accordance with the laws and regulations applicable in the country of performance of the Contract; indicate these elements in a document annexed to the employment contracts of our employees and made available to the Contracting Authority; and respect and facilitate the rights of workers to organize themselves and set up a complaints management mechanism for direct or indirect workers.

⁶⁴ For informational purposes, this policy can be accessed *via* the following link: <https://www.afd.fr/en/combating-corruption>.

- 7.4 Implement practices for non-discrimination and equal opportunities, and ensure the prohibition of child labour and forced labour.
- 7.5 Keep a record for each member of the local staff recording the hours worked by each person, the type of work, the wages paid and the training undertaken, and ensure that these records are available at all times to be inspected by the Contracting Authority and the authorized representatives of the government, in accordance with the laws and regulations applicable to the protection of personal data in the country of performance of the Contract.
8. We, any party acting on our behalf,² the members of our joint venture, our subcontractors, our direct or indirect shareholders, and our subsidiaries, authorize AFD to conduct investigations and, in particular, inspect the documents and accounting records relating to the procurement and performance of the Contract, including, but not limited to, our internal processes and rules related to the respect of international sanctions pronounced by the United Nations, the European Union and/or France, and to have them verified auditors appointed by AFD.
9. We declare that we have paid, or that we shall pay, the commissions, benefits, fees, gratuities or charges relating to the procurement procedure or the performance of the Contract to the following third party/parties (for example, an intermediary/agent)(*):

Name of beneficiary	Contact details	Purpose	Amount (indicate the currency)
—	—	—	—
—	—	—	—
—	—	—	—

(*): If no amount has been paid or is to be paid, indicate “None”.

10. We undertake to promptly inform the Contracting Authority, which shall inform AFD, of any change of circumstance regarding the sections above, including in case of any sanctions or embargo measures adopted by the United Nations, the European Union and/or France, after we have signed the present Statement.

Name: _____ In the capacity of: _____

Duly empowered to sign in the name and on behalf of:⁶⁵ _____

Signature: _____

Dated: _____

⁶⁵ In the case of a joint venture, insert the name of the joint venture. The person signing the bid, proposal or application on behalf of the bidder, consultant or applicant, shall attach a power of attorney from such bidder, consultant or applicant.

Annex 14: Terms of Reference for Program Audit

HIMACHAL PRADESH DISASTER RISK REDUCTION AND PREPAREDNESS PROGRAM

Terms of Reference for Audit of AFD Program <<Project ID>> by Comptroller and Auditor General of India through State AG office

I. Background

The Program

1. The Himachal Pradesh Disaster Risk Reduction and Preparedness Program (HPDRRPP), hereinafter referred to as the “Program,” is a Euro 100 million (INR 890crores) Program of the Government of Himachal Pradesh (GoHP), supported by the Agence Française de Développement (AFD), also known as the French Development Agency. The primary goal of the Program is to strengthen disaster and climate resilience among State systems and local communities in Himachal Pradesh. The Program’s overarching objective is to transition towards a comprehensive disaster and climate risk reduction framework through resilient infrastructure and strengthened governance.
2. The Program is expected to commence in April 2025 and run for five years. AFD is providing financial support of Euro 81.9 million under its Program Budget Support (PBS) instrument. Initially, program expenditure will be funded through the GoHP budget, with subsequent reimbursement by AFD upon submission of claims by GoHP. The PBS includes a results-based financing track, with financing of up to Euro 15 million. Under this track, disbursements from AFD shall be contingent upon the achievement of pre-agreed results, evidenced by the achievement of related disbursement-linked indicators (DLIs). Furthermore, the Program incorporates a Contingency Early Response (CER) Component, with an outlay of up to 10 percent of the total Program expenditure, earmarked for addressing unforeseen emergency expenditure resulting from disasters. A designated portion of the Program’s total budget is allocated to cover Program management expenses.

II. Program Structure

3. The HPDRRPP is designed to align with, and advance, the principles and objectives outlined in:
 - i. The Himachal Pradesh State Policy on Disaster Management, 2011, and the State Disaster Management Plan, 2017 (revised in 2020);
 - ii. The Himachal Pradesh State Action Plan on Climate Change 2021-2030; and

- iii. The Sendai Framework for Disaster Risk Reduction 2015-2030.
4. The Program includes twenty projects organized under three core components:
 - i. **Component 1 – Enhancing Disaster Risk Governance:** This component aims to strengthen institutional capacities, risk understanding and knowledge management.
 - ii. **Component 2 – Strengthening Disaster Preparedness:** This component focuses on the effective implementation of Early Warning Systems (EWS) and emergency response capacities.
 - iii. **Component 3 – Promoting Mitigation Measures:** This component supports the deployment of mitigation measures, including eco-DRR strategies and Nature-based Solutions (NbS) to mitigate disaster risks effectively.
5. A foundational principle across all Program interventions is the integration of crosscutting themes such as institutional strengthening, capacity building, climate resilience, and gender mainstreaming. Under Component 1 of the Program, the Results-Based Financing Sub-component is dedicated to facilitating a set of studies, policy initiatives, and the deployment of technological solutions.

III. Program Implementation

6. The Program envisions a decentralized implementation framework and a distributed monitoring system. The Himachal Pradesh State Disaster Management Authority (HPSDMA), operating through the Disaster Management Cell (DMC) at Department of Revenue and 12 District Disaster Management Authorities (DDMAs), will be the nodal agency for the Program. Additionally, nine state government departments are designated as Implementing Agencies (IAs) for the Program. It may also be noted that for the activities handled by the two central government institutions, the spending agency will be the HPSDMA only. The Program will be implemented using GoHP's systems for program administration and financial management.
7. Program implementation and financial management arrangements will be detailed in the Program Operations Manual. Environment and Social aspects are discussed in the Program Environment and Social Management Framework (ESMF). The Program will be managed using a Program Management System – an IT solution that will be implemented by the DMC.

IV. Context and Background

8. The Credit Facility Agreement (CFA) and the Program Agreement stipulate that the Nodal Implementing Agency shall (i) identify separate budget lines for the Program in its budget, and (ii) maintain financial accounts, related financial statements and information

(collectively called the Annual Program Financial Statement (APFS), as may be prescribed in the Program Operations Manual, and have them audited annually by the Accountant General's (AG) office; and (iii) furnish to AFD, within the stipulated timeframe from the close of the financial year, certified copies of such Annual Program Financial Statements and the auditors' report.

9. Additionally, the CFA and the Program Operation Manual also stipulate rules in terms of Program funds management and procurement which shall be respected in the context of the Program.

V. Audit Objectives

10. The AG shall provide an opinion on the use of credit facility proceeds and compliance with the covenants of the Credit Facility Agreement and Program Agreement, as well as on the use of the procedures for Program funds and related expenditure, where applicable. Specifically, the auditor will express a professional opinion on the following aspects:
 - i. Completeness and accuracy of the Annual Program Financial Statements and whether they present a true and fair view of the Program transactions.
 - ii. Adequacy of accounting and internal controls on program expenditure.
 - iii. Safe custody of program assets.
 - iv. Adequacy of documentation of transactions.
 - v. Ineligible expenditure, if any contracts have been awarded not in accordance with applicable rules and with regard to the principles of economy, efficiency, transparency and fairness.

VI. Auditing Standards

11. The audit will be carried out in accordance with the Auditing Standards promulgated by the Comptroller and Auditor General (C&AG) of India. The AG's team shall accordingly consider materiality when planning and performing the audit to reduce audit risk to an acceptable level that is consistent with the objective of the audit. Although the responsibility for preventing irregularity, fraud, or the use of credit facility proceeds for purposes other than as defined in the legal agreement remain with the GoHP, the audit should be planned so as to have a reasonable assurance of detecting material misstatements in the Program's Annual Financial Statements.

VII. Audit Scope

12. While conducting the audit, special attention should be paid to the following:
 - i. All program funds have been used in accordance with the conditions of the relevant legal agreements and only for the purposes for which the financing was

- provided. Relevant legal agreements include the Credit Facility Agreement and Program Agreement, and the Minutes of Negotiations;
- ii. Counterpart funds have been provided and used in accordance with the Credit Facility Agreement and Program Agreement and only for the purposes for which they were provided;
 - iii. Financial covenants of the Credit Facility Agreement and Program Agreement have been complied with;
 - iv. Necessary supporting documents, records, and accounts have been kept in respect of all program transactions as required under applicable laws. Clear linkages should exist between the books of account and reports presented for audit;
 - v. The Program accounts have been prepared in accordance with consistently applied Government Accounting Standards, General Financial Rules, Public Works codes; Treasury codes and other financial rules and codes, as applicable, and present fairly, in all material aspects, the financial situation of the program at the year end and of resources and expenditures for the year ended on that date.
 - vi. Procurement procedures have been followed as prescribed under the applicable rules and guidelines of GoHP and the standard documents prescribed for procurement have been respected and rules of HP State in terms of procurement have been respected.
13. If required by AFD or GoHP and in consultation with the C&AG, the scope may be expanded to include a report or the expression of an opinion on specific aspects of the operation, such as internal controls, or efficiency and effectiveness in the use of credit facility.

VIII. Methodology of the Audit - Sample Determination

14. The auditor may use sampling based on their assessment of the risks. Sample determination may be reviewed for each financial year audited.
15. The auditor shall review the recommendations set out in the previous audit reports, assess to what extent they have been applied and, where necessary, reassess their level of priority. Should it be found that these recommendations have not been applied, the auditor shall seek to find out the causes and propose solutions to regularize the situation.

IX. Audit Report

16. The audit report on the APFS shall be in accordance with the Auditing Standards promulgated by the Comptroller and Auditor General of India. Those standards require an audit opinion to be rendered related to the financial statements taken as a

whole, indicating "unambiguously whether it is unqualified or qualified, and, if the latter, whether it is qualified in certain respects or is adverse or a disclaimer of opinion". In addition, the audit opinion paragraph will specify whether, in the auditor's opinion, proceeds have been used as covenanted in the Credit Facility Agreement and Program Agreement and other applicable arrangements and adequate supporting documentation has been maintained to support claims to AFD for reimbursement of expenditures incurred; and except for ineligible expenditures, if any, as detailed in the audit observations, expenditures are eligible for financing under the Credit Facility Agreement and Program Agreement.

17. The AG shall issue its audit report within nine months of the receipt of APFS from DMC. The AG Office shall issue copies of the audit report to the DMC. It shall be the responsibility of the DMC to provide APFS in timely manner for conduct of audit by the AG.
18. The audit report and related documents shall be in the English language.
19. The DMC shall submit the audited APFS to AFD within 15 days of issuance of audit report by the AG.

X. Management Letter

20. In addition to the audit report on the APFS, the AG Office shall also prepare a management letter containing recommendations for improvements in internal control and other matters coming to the attention of the auditor during the audit examination.

XI. General

21. The DMC shall give access to AG office, to any information relevant for the purposes of conducting the audit. This would normally include all legal documents, correspondence, and any other information associated with the program and deemed necessary by the auditor. The information to be made available to the auditor should include, but not be limited to, copies of Credit Facility Agreement and the Program Agreement, other relevant legal agreements, Program Operations Manual, Program budget and expenditure framework, books of accounts, Program Management System reports, and supporting documents for the transactions. DMC shall facilitate access to documents and records maintained by other Program IAs, as needed for audit. The AG shall reserve the right to ask for additional information and documents as may be required for the purpose of audit.

Annex 15:Format of the Annual Program Financial Statements**Sources and Uses of Funds (Component Wise)**

(Amount in INR Lakhs)

Particulars	Current Year	Previous Year	Program to Date
<i>Sources</i>	(1)	(2)	(3)
Opening Balance of unutilised allocation (if any) (A)			
Annual budget allocation to the Program(B)			
Total Sources (C = A + B)			
Expenditure by Components and Projects			
<<Component 1 ___>>			
<<Project 1.1>>			
<<Project 1.2>>			
<<Project 1.3>>			
Total			
<<Component 2 ____>>			
<<Project 2.1>>			
Total			
Program Management			
<<>>			
Total			
Total Expenditure (D)			
Unutilised budgetary allocation surrendered (if any) during the year (E)			
Closing Balance of unutilized allocation (if any) (F = C – D – E)			

Section Officer – DMC**Program Director****Notes:**

1. This Financial Statement is prepared on Cash Basis of Accounting.
2. The above figures are based on accounts compiled by AG (A&E), duly reconciled with the HIMKOSH data.
3. <<Any other Specific note>>

Annexure 1: Annual Expenditure (Implementing Agency Wise)

(Amount in INR Lakhs)

Particulars	Current Year	Previous Year	Program to Date
Expenditure by Implementing Agency	(1)	(2)	(3)
Himachal Pradesh State Disaster Management Authority (HPSDMA) through the Disaster Management Cell (DMC) of Dept of Revenue & District Disaster Management Authorities (DDMAs)			
Civil Defence and Home Guards Department			
Department of Environment, Science, Technology & Climate Change (DEST&CC)			
Department of Tourism & Civil Aviation			
Fire Services Department			
Himachal Pradesh Forest Department (HPFD)			
Himachal Pradesh Public Works Department (HPPWD)			
Jal Shakti Vibhag			
Department of Horticulture			
Police (State Disaster Response Force-SDRF)			
Total Expenditure			

Annexure 2: Head of Account wise Annual Expenditure

(Amount in INR Lakhs)

Budget Head of Account	Current Year	Previous Year	Program to Date
	(1)	(2)	(3)
<<Budget Head 1>>			
<<Budget Head 2>>			
<<Budget Head 3>>			
Total Expenditure			

Annexure 3: Reconciliation of Disbursement Claims and Program Expenditure**A. Reconciliation Statement (sample)**

(Amount in INR Lakhs)

Particulars	Amount (Program to date)	Remarks
Total Program Expenditure as per APFS		
Less:		
a. Expenditure under RBF Sub-component of Component 1		DLI based claims
b. Expenditure yet to be claimed		Claim not yet submitted to AFD

Particulars	Amount (Program to date)	Remarks
c. Ineligible expenditure reported in annual Program audits		Net of subsequent acceptance by auditor
d. Claims disallowed by AFD, if any		
e. <<>>		
f. <<>>		
g. <<>>		
Total		
Total Program Expenditure included in Disbursement Claims (Reimbursement Track)		Non-RBF disbursement claims only

B. Breakdown of Disbursement Claims (Program to date)

(Amount in INR Lakhs)

Particulars	Reimbursement Track			RBF Track	Total
	Non-RBF (Projects 1.1 to 1.4, 2.1 to 2.7 & 3.1 to 3.4)	Project Mgmt. (P1 to P12)	Contingent Emergency Response	(Projects 1.5 to 1.9)	
AFD share of financing	77.1%	100%	100%	Euro 15 Mn	
Total expenditure included in disbursement claims submitted				N/a	
Total disbursement amount for which claims submitted					
Disbursements received from AFD					
Difference, if any					
Reasons for difference					

Annex 16: Detailed Program Financial Management Arrangements

Abbreviations

[AFD-French Development Agency; AG-Accountant General; APFS-Annual Program Financial Statements; CER-Contingency Early Response; DMC-Disaster Management Cell; DDO-Drawing & Disbursing Officer; DPIU- Divisional/District Program Implementation Unit; EnC-Engineer in Chief; ExEn-Executive Engineer; FD-Finance Department; HoA-Head of Account; HoD-Head of Department; HPPWD-Himachal Pradesh Public Works Department; HPSDMA-Himachal Pradesh State Disaster Management Authority; IA-Implementing Agency(ies); LoC-Letter of Credit; SDNO-State Departmental Nodal Officer; UC-Utilization Certificate]

Particulars	DMC as Nodal Agency	Implementing Agencies (IA) (including DMC for certain Projects and Activities)
1) Annual Program Budget		
a. Regular Program expenditure	Collects spending proposals from all Program IAs, prepares consolidated Program budget and submits to FD & AFD	SDNO (normally the HoD) collects spending proposals from DPIUs, prepares consolidated Program budget proposal for the Department and submits to DMC
b. CER component	On decision to activate the CER Component, collects expenditure estimates from other IAs, prepares the CER Component budget, and submits to FD & AFD	SDNO prepares estimates under Budget Line identified/created for CER expenditure under the Program, and submits to DMC
2) Program Budget Distribution		
a. Works expenditure (deposit works mode)	Distributes total Program budget (works other expenditure) to SDNOs of IAs on eVitrans	<ul style="list-style-type: none"> SDNO allocates budget on eVitrans to SDNO-HPPWD (EnC of HPPWD) for deposit works by depositing the amount in Omnibus account for LoC EnC, in turn, distributes allocation to DDOs within HPPWD (divisions/ sub-divisions) through deposit LoC
b. Non-works expenditure		Each SDNO further allocates budget to its DDOs on eVitrans
3) Program spending		
a. Works expenditure (deposit works mode)	N/a	HPPWD DDO (ExEn) spends on execution of works using LoC channel and makes payments through the Treasury
b. Non-works expenditure	N/a	Departmental DDO incurs expenditure and makes payments through the Treasury

Particulars	DMC as Nodal Agency	Implementing Agencies (IA) (including DMC for certain Projects and Activities)
4) Expenditure Accounting		
a. Works expenditure (Deposit Works mode)	N/a	<ul style="list-style-type: none"> Departmental SDNO records the amount transferred to HPPWD for Deposit Works under the relevant Program HoA on HIMKOSH HPPWD Division renders compiled monthly accounts to the AG(A&E) and AG(A&E) does the accounting for deposit works (outside HIMKOSH) HPPWD Division sends details of physical progress and expenditure incurred on deposit works to the respective Departmental SDNOs
b. Non-works expenditure	N/a	Departmental DDO records expenditure incurred against the respective Program Budget Lines on HIMKOSH
5) Utilization Reporting and Disbursement Claim		
Utilization Certificates	<ul style="list-style-type: none"> Obtains self-certified UCs from Departmental IAs every quarter Reconciles UCs with eVitran and HIMKOSH Obtains IVA report for DLIs achieved under RBF Track Prepares a half-yearly Disbursement Claim Certifies and submits Disbursement Claim to AFD 	<ul style="list-style-type: none"> Departmental SDNO collects details of works expenditure from HPPWD Compiles details of non-works expenditure incurred by Departmental DDOs from HIMKOSH Prepares quarterly UC for Program expenditure (including works, non-works, and CER) and reconciles with eVitran/HIMKOSH Self-certifies and submits UC to DMC
6) Annual Program Financial Statements (APFS)		
Annual Program Financial Statements	<ul style="list-style-type: none"> Prepares APFS based on expenditure reported by IAs in quarterly UCs Reconciles the APFS with eVitran and HIMKOSH Obtains approval and submits APFS for audit within three months of close of Financial Year 	N/a
7) Program Audit		
Program Audit	<ul style="list-style-type: none"> Gets Program Audit done within nine months from the end of the Financial Year by AG (Audit) Submits audited APFS to AFD 	Shares vouchers and source documents for Program audit and responds to audit queries

Annex 17: Gender Mainstreaming

Design Criteria for Various Gender Attributes

Gender Attribute	Outcome Expectations	Design Criteria
Gender Equity (GEN)	The outcome impacts all the Genders equally and narrows Gender disparity in the particular context of the program.	<ul style="list-style-type: none"> • Gender analysis is conducted with the help of baseline gender dis-aggregated data. • Explicit gender equality and/ or women’s empowerment outcomes are reflected in the Design & Monitoring Framework outcome statement with gender performance outcome indicators. • Gender Action Plan - GAP is included with gender-inclusive design features, clear gender targets and monitoring indicators, and/ or components to narrow gender disparities and directly benefit women or girls. • GAP should be linked to DMF.
Effective Gender Mainstreaming (EGM)	The project outputs are designed to deliver tangible benefits to women by directly improving their access to social services, economic or financial resources or opportunities, or basic rural or urban infrastructure, and/ or by enhancing their voices and rights, which contributes to gender equality and women’s empowerment.	<ul style="list-style-type: none"> • Gender equality is reflected in the Design & Monitoring Framework outcome statement with gender performance outcome indicators. • GAP is linked to DMF Gender sensitive design features are required in majority of outputs. “Majority” Means more than 50 percent of project outputs with at least three features in each output; and • DMF should have at least one target/ indicator in more than 50 percent of project outputs.
Some Gender Elements (SGE)	<ul style="list-style-type: none"> • The project is by nature likely to directly improve women’s access to services, opportunities, and improved voice but does not meet EGM design criteria; or • It has significant efforts made to include some gender features to enhance benefits for women; 	<ul style="list-style-type: none"> • Social/ gender analysis during design stage; • Inadequate gender design features that do not meet the EGM design criteria; • Some proactive gender features are required for SGE categorization. Examples: <ul style="list-style-type: none"> ❖ Female employment targets in project; ❖ workers as well as garbage collectors; ❖ Women’s involvement in operation and maintenance ❖ Income generation/ skill building ❖ Women’s involvement in the selection of community infrastructure and technology
No Gender Elements (NGE)	The project outcome is not sensitive to gender issues.	The project design does not include any gender features

